PortMan

The complete Schedule D solution

INVESTMENT PORTFOLIO MANAGER

USERS MANUAL

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System Requirements
User Hardware Requirements

- Windows Operating Systems – 2000, XP, Vista, 7, Server NT, 2000, 2003, 2008, 2008 R2
- Pentium 300-megahertz (MHz) processor or faster
- At least 256 megabytes (MB) of RAM
- 2 Gb hard Drive Space
    - At least .5 gigabytes (GB) of available space on the hard disk for Paradox
    - At least 1.5 gigabytes (GB) of available space on the hard disk for Portman database and related files (this can reside on a server if user desires. See Optional)
- CD-ROM or DVD-ROM drive, optional but desired
- Keyboard and a Microsoft Mouse or some other compatible pointing device
- Video resolution of (1024 x 768) or higher resolution
- OPTIONAL – we provide much of our customer support via file transfers initiated by the customer. To facilitate this process, access to the command-line FTP program (FTP.EXE), found in %WINDIR%\SYSTEM32 is necessary, Also Firewall rules must allow the FTP connection.
- OPTIONAL - Installing the database files on a server requires a MAPPED drive letter that will be in-common to all Portman users. Users will need full permissions to the Portman data folder on the mapped drive.

Software Installation

Initial software installation will be done by Accurate Business Systems via a web meeting with the target computer(s). This process will ensure the software is up and running in the shortest amount of time and with the least amount of inconvenience to the customer.

Software Updates

Software updates are posted periodically on the portman-win.com website. When this happens users are notified via email of the update and what changes have been made. Users are free to download and install the updates at their convenience, or they may call support @ 1-502-209-6034, to have a support technician install the update.

Updates are inclusive. That is a user running Version 2014.01, who installs the update for version 2014.08, will in fact install all the changes the occurred with versions 2014.02 thru 2014.08 in the single update.

Interaction with Customer Technical Support

Interaction with the customers technical support team is typically minimal provided the portman user has full access and rights to:

The Portman data directory
The Corel folder on the C drive
And the ability to update the BDE settings (which require ability to make registry changes)

Generally speaking, issues that require help from the users tech support involve permission restrictions or changes to permissions that impact user rights to these folders

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System Overview

This overview is broken down into four sections that cover the following topics:

1. Day to day system management;
2. Quarterly Procedures;
3. Year-End procedures;
4. Menu explanation and descriptions.

Day to Day System Management

Upon completion of system installation, **PortMan** requires **minimal** entry to manage your Schedule D investments. The basic block of time in managing your investments is a month, so we will begin there.

During the course of the month the following entries will be made to keep the system current.

- All interest, dividend, and principal reduction transactions that affect your accounting system must be recorded and posted to the appropriate security by using Income from the Transaction menu.
  Note: Principal reductions are the principal pay downs associated with CMO and Mortgage Backed securities.
- All securities that have been purchased in the month must be added by using *Add* from the main menu, and then *Bonds, Stocks, Short Term...*
- All securities that have been disposed during the month must be recorded by using Calls, Maturities, and Sales from the Transaction menu.

At this point it is imperative that you print out a Portfolio report to compare the holdings that are in PortMan with the holdings listed in your bank statement(s). If there are differences between the two now is the time to figure out and correct the differences.

- Run the Accrual program. This program must be run every month to account for partial disposals. Even if there are no partial disposals this program must be run at month end. The program asks you to verify the correct date and everything else is automatic.
- Run the Amortization routine to change the amortized value at the end of every month. As above, the program asks you to verify the correct date for amortization then calculates an increase or decrease amount for each appropriate Bond and Short Term security. After calculating the Book Value change, the program creates a transaction for each affected security. The transactions are then posted using the Transaction routine. If not run monthly, the Amortization routine must be run at the end of the year.
- The last function performed in a month is to run the Month-End program from the Programs menu. This program prints at least two (2) reports that are used to make sure you are receiving the money you are entitled to. The first report printed is a listing of all securities that paid interest or dividends in the month that is expiring. The second report is a listing of all securities that are scheduled to make a payment in the month that is commencing. The combination of these reports enables you to keep a close eye on your investment revenues.

The following workflow is provided as a guide to show how these steps would be processed.

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Monthly System Workflow

Processing the steps below in the order given will help ensure accurate and successful data entry.

1) VERIFY

a) Prior to entering data for the intended month verify that Month-end processing has been completed for the prior month. The transactions you intend to enter should be dated within the month displayed in the **Current Month** field on the main menu. If that is the case then proceed to step 2. Otherwise, If you find that the CurrentMonth is the month prior to your intended transactions, you will need to skip to step 6 or step 7 as needed and complete the prior month before starting the new month.

2) PROCESS PURCHASES

a) **Add** Purchases and Acquisitions

b) **Pre-Post** acquisition transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** acquisition transactions

3) PROCESS INCOME

a) **Enter** interest, dividend, and principal reduction transactions using ***Transactions, Income.***

b) **Pre-Post** income transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** Income Transactions

4) PROCESS DISPOSALS

a) **Enter** Sales, Maturities and Calls using ***Transactions, Calls, Maturities, Sales.***

b) **Pre-Post** disposal transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** disposal transactions

5) VERIFY

a) **Print** Portfolio Report
   i) Compare with Custodial Statements. ***Par and Shares need to match.***

b) **Process**
   i) Accrual
   ii) Amortization
   iii) Verify Pre-Post report, then Post amortization transactions.
   iv) Update Market Prices and Designations from the Market Screen
   v) Book Value Adjustments from the Programs menu choice on the Main Menu.

6) Print Reports

a) Reconciliation
b) GL Summary
c) GL Detail
d) Working Schedule D
e) Others as desired

NOTE: *At Year end, you must print all reports and transfer data to the Annual Statement software before you process step 7.*

7) Month-End **To enter January you must run Year- End

a) **Run Month-End** before starting a new month

Do Not run Step 7 until you are ready to start January. You must run all December 31 reports and transfer files to the annual statement software before you run the Year-End program.

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Quarterly Procedures

The end of each quarter (March, June, and September) follows the regular monthly procedures except for a few changes.

- After completing Accrual and Amortization you will probably want to price your portfolio using the Market Screen. This screen allows you to change the Market price and designations (NAIC Ratings) for each of your securities
- You may need to run the Quarterly Export for your statement software.

Year-End Procedures

The end of the year (December) follows a regular months procedures except for a few changes.

- Amortization is not optional at year end. It must be completed.
- The *Run Year-End* option will first process the year end steps, then the December Month End
- The *Year-End* program copies all of the data from the main file to the previous year data file, and then gets the primary file ready for the New Year.

DO NOT run the year-end program until all data is verified to be correct, and data has been transferred to the Annual Statement software.

Processing the steps below in the order given will help ensure accurate and successful data entry. The flowchart for December's work flow is,

1) VERIFY

a) Prior to entering data for the intended month verify that Month-end processing has been completed for the prior month. The transactions you intend to enter should be dated within the month displayed in the **Current Month** field on the main menu. If that is the case then proceed to step 2. Otherwise, If you find that the CurrentMonth is the month prior to your intended transactions, you will need to skip to step 6,7 or 8 as needed and complete the prior month before starting the new month.

2) PROCESS PURCHASES

a) **Add** Purchases and Acquisitions

b) **Pre-Post** acquisition transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** acquisition transactions

3) PROCESS INCOME

a) **Enter** interest, dividend, and principal reduction transactions using ***Transactions, Income.***

b) **Pre-Post** income transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** Income Transactions

4) PROCESS DISPOSALS

a) **Enter** Sales, Maturities and Calls using ***Transactions, Calls, Maturities, Sales.***

b) **Pre-Post** disposal transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** disposal transactions

5) VERIFY

a) **Print** Portfolio Report

i) Compare with Custodial Statements. ***Par and Shares need to match.***

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Year-End Procedures - Continued

b) **Process**
   i) Accrual
   ii) Amortization
   iii) Verify Pre-Post report, then Post amortization transactions.
   iv) Update Market Prices and Designations from the Market Screen
   v) Book Value Adjustments from the Programs menu choice on the Main Menu.

6) Print Reports

a) Reconciliation
b) GL Summary
c) GL Detail
d) Working Schedule D
e) Others as desired

NOTE: *At Year end, you must print all reports and transfer data to the Annual Statement software before you process step 8.*

7) Export Schedule D

a) **Load** PortMan Schedule D data into your annual statement software.
b) **Verify** Schedule D data in your annual statement software is correct.

8) Year-End

a) **Run Year-End** before starting January

   ********Do Not run Step 8 until you are ready to start January AND you have verified the prior year data. You must run all December 31 reports and transfer files to the annual statement software before you run the Year-End program.*

In addition to the above, the Market routine will need to be run sometime in January. It is run after you receive the new market rates and NAIC designations from your source. The market routine displays a list of all active securities in your portfolio. You input the market price (optional), the NAIC SVO market price and the NAIC designation (rating) associated with the security. The program posts the updates to the securities in the Previous and Current Year files, then calculates market yield and modified duration for fixed income securities.

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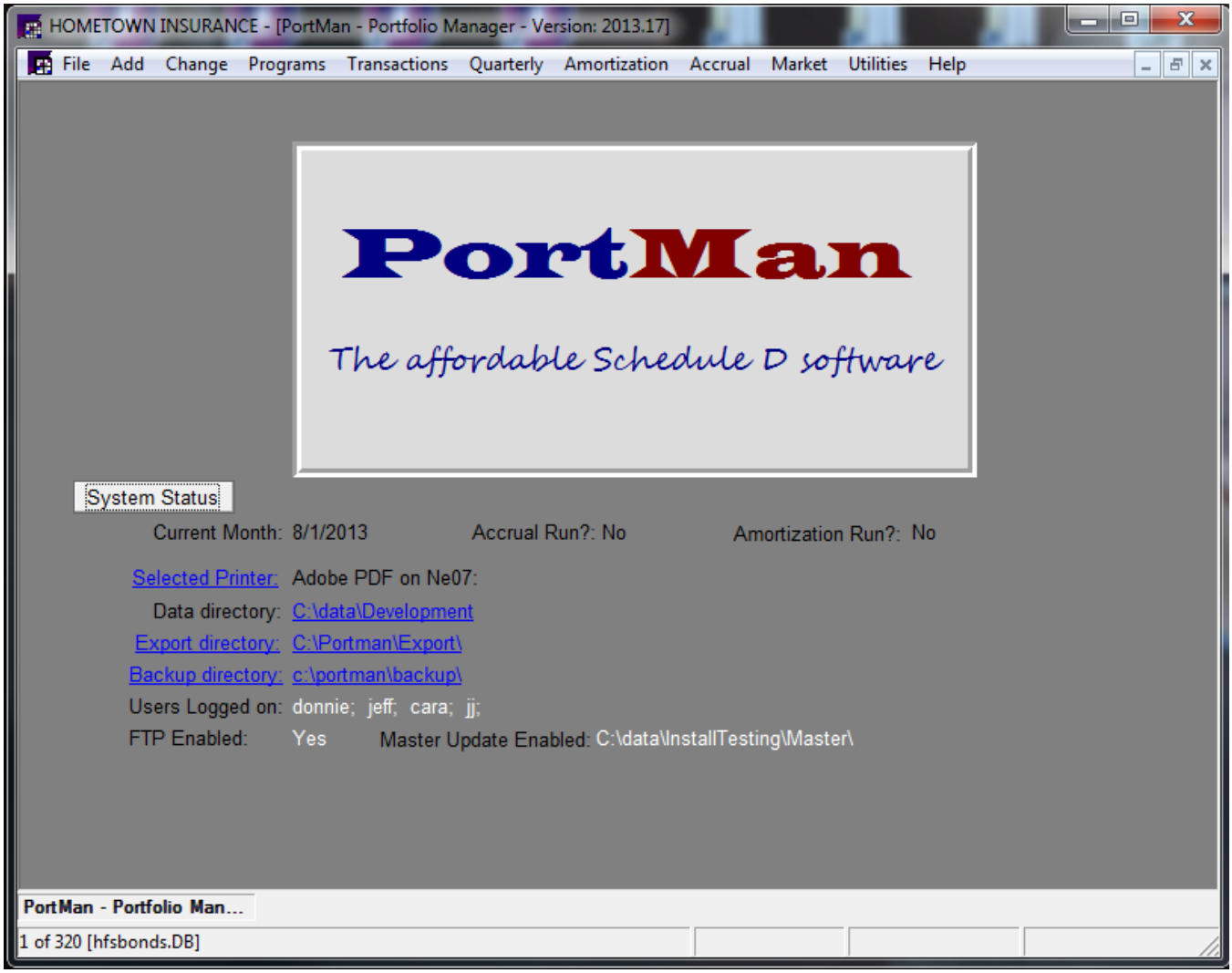
Main Menu Explanation and Description:

The Menu system is designed to be self explanatory and easy to use. Each menu has an ***Exit*** choice that will either bring you to the previous menu, or exit the system if you are at the Main Menu.

When **PortMan** is started you will see the Main Menu screen pictured below.


HOMETOWN INSURANCE - [PortMan - Portfolio Manager - Version: 2013.17]
File Add Change Programs Transactions Quarterly Amortization Accrual Market Utilities Help
PortMan
The affordable Schedule D software
System Status
Current Month: 8/1/2013
Accrual Run?: No
Amortization Run?: No
Selected Printer: Adobe PDF on Ne07:
Data directory: C:\data\Development
Export directory: C:\Portman\Export\
Backup directory: c:\portman\backup\
Users Logged on: donnie; jeff; cara; jj;
FTP Enabled: Yes
Master Update Enabled: C:\data\InstallTesting\Master\
PortMan - Portfolio Man...
1 of 320 [hfsbonds.DB]

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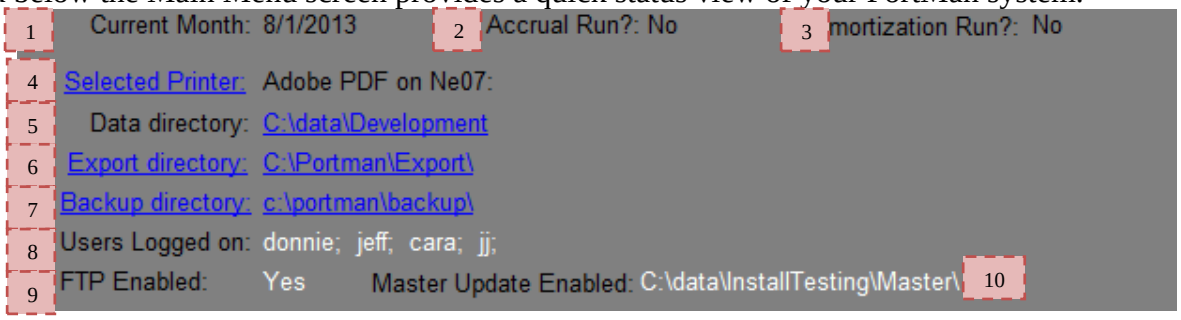
As indicated below the Main Menu screen provides a quick status view of your PortMan system.



1. Current Month – This indicates the accounting month that is currently active in Portman.
2. Accrual Run? – This will display a Yes or No, indicating if the Accrual process has been run for the month displayed.
3. Amortization Run? – This will display a Yes or No, indicating if Full Amortization has been run for the month.
4. Selected Printer – Displays the name of the currently active printer for Portman. Clicking the "Selected Printer" label will allow you to change the printer.
5. Data Directory – This indicates the location for the companies Portman data. Clicking the path displayed should open a Windows explorer view of the path.
6. Export Directory – This indicates the location where export files will be created. Clicking the path displayed should open a Windows explorer view of the path.
7. Backup Directory – This indicates the location where Backup files will be created. This should not be the same path displayed on the Data Directory path. Clicking the path displayed should open a Windows explorer view of the path.
8. Users Logged on – Indicates which users are currently using PortMan. Those users may be in other companies.
9. FTP Enabled – Indicates if the user has the ability to transfer data files to support.
10. Master Update Enabled – Indicates if the company is using a Master copy of Portman to keep the version up to date.

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Main Menu Choices:

File - This choice will bring you to the *File* sub-menu.

Exit - Use this to exit the program and return control to Windows.

Print - This choice will bring you to the *Report* printing screen. Instructions for use are provided on the *Print* selection screen.

***Backup* – Simple** -This selection backs up the system files. The backup takes only a few minutes and can save you hours or days of trouble. The default location for all backup files is the data directory. You can and should change the location from the *Utilities* screen.

***Backup* – Compressed** -This selection provides greater flexibility for creating backups of your **PortMan** files. The data files will be compressed into a .ZIP format and named with a date time stamp. This naming process allows for the creation of a new and distinct backup file as often as every one second. Additionally this option will allow you to send your files to **PortMan** support via an option check box. The location for all backup files is defined in the *Utilities* screen.

Interactive - This choice closes the **PortMan** screens and opens the Paradox interactive mode. This is useful for running custom queries and reports.

Add - This choice will bring you to the security record adding sub-menu.

Bonds - Use this to add bonds to the master file. A bond is a debt investment in which an investor loans money to an entity (corporate or governmental) that borrows the funds for a defined period of time at a fixed interest rate. Bonds are used by companies, municipalities, states and U.S. and foreign governments to finance a variety of projects and activities.

Bonds are commonly referred to as fixed-income securities and are one of the three main asset classes, along with stocks and cash equivalents.

CMO - Use this to add CMOs to the master file. A collateralized mortgage obligation is a type of mortgage-backed security in which principal repayments are organized according to their maturities and into different classes based on risk. A collateralized mortgage obligation is a special purpose entity that receives the mortgage repayments and owns the mortgages it receives cash flows from (called a pool). The mortgages serve as collateral, and are organized into classes based on their risk profile. Income received from the mortgages is passed to investors based on a predetermined set of rules, and investors receive money based on the specific slice of mortgages invested in (called a tranche)

Mortgage Backed - Use this to add Mortgage Backed bonds to the master file. An MBS is a type of asset-backed security that is secured by a mortgage or collection of mortgages. These securities must also be grouped in one of the top two ratings as determined by a accredited credit rating agency, and usually pay periodic payments that are similar to coupon payments. Furthermore, the mortgage must have originated from a regulated and authorized financial institution.

Common Stocks - Use this to add common stocks to the master file. A security that represents ownership in a corporation. Holders of common stock exercise control by electing a board of directors and voting on corporate policy. Common stockholders are on the bottom of the priority ladder for ownership structure. In the event of liquidation, common shareholders have rights to a company's assets only after bondholders, preferred

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shareholders and other debt holders have been paid in full.
In the U.K., these are called "ordinary shares."

Preferred Stocks - Use this to add preferred stocks to the master file. A class of ownership in a corporation that has a higher claim on the assets and earnings than common stock. Preferred stock generally has a dividend that must be paid out before dividends to common stockholders and the shares usually do not have voting rights. The precise details as to the structure of preferred stock is specific to each corporation. However, the best way to think of preferred stock is as a financial instrument that has characteristics of both debt (fixed dividends) and equity (potential appreciation). Also known as "preferred shares".

Short Term - Use this to add Short Term securities to the master file. You will use this choice when adding investments that mature more than 90 days and less 365 days from the purchase date. These are typically fixed income securities but they are reported to the NAIC on Schedule DA.

Cash Equivalent - Use this to add cash Equivalent securities to the master file. Cash Equivalent securities are Investment securities that are short-term (Less than 91 days to maturity), have high credit quality and are highly liquid. These are reported on Schedule E.

Change - This selection will bring you the security record editing menu.

Edit a Security - This choice is used to display a pick list of securities that can be edited or viewed. Highlight the security to edit and click on the edit button to move to the selected record.

Edit Accrual - Used to edit the interest due and accrued on a bond or dividend accrued on a stock.

Programs - This selection brings you to the *program* menu.

Export Schedule D - This selection will export the Annual Schedule D data. It scans the master file for records that belong to the following reports:

Schedule D Part 1	(Bonds owned)
Schedule D Part 2 Section 1	(Preferred Stocks owned)
Schedule D Part 2 Section 2	(Common Stocks owned)
Schedule D Part 3	(Bonds and Stocks acquired)
Schedule D Part 4	(Bonds and Stocks disposed)
Schedule D Part 5	(Bonds and Stocks acquired and disposed)
Schedule DA Part 1	(Short Term owned)
Schedule D Verification	
Schedule DA Verification	

It then creates the appropriate output data and sends it to an export file named SCHD.TXT. The file will be located in the Export folder which is identified on the main menu. The Export directory can be changed from the Utilities screen.

Month-End - This selection runs the end of month program. The program asks for the date of the last day of the month that is ending, the first day of the month that is beginning and then performs all of the rest of the work automatically. More information is presented in the month-end procedure section of the manual.

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Year-End - This selection runs the end of year program. This program does everything the system needs in order to begin a new year. This option is only available when working in December.

Book Value Adjustments - This selection runs a process that evaluates and sets the book value for securities that have their Book Value As set to "1-Default". For these securities there are times when based on the NAIC designation of the security, the type of company, the Amortized price and the Market price, it is necessary to adjust the **Book**/Adjusted **Carrying Value** be the lesser of Market value or to Amortized value. More information on this process can be found in the NAIC Annual Statement instructions

Mass Write-Down - This selection runs will take a permanent write down, also know as an Other Than Temporary Impairment OTTI on all securities in a loss positions that meet the criteria defines on the utility screen. This is not an option that should be taken without careful consideration of the ramifications of the write down.

Transactions - This selection will bring you to the *transaction* menu.

Income - This selection brings you to a pick-list that displays Bonds, Short Term, Mortgage Backed, and CMO securities that are scheduled to make an interest payment. Securities that have paid interest need a **Y** entered in the Post field. Fully disposed securities that received payments can be displayed via options on the screen. More information on this procedure will be presented later in the next section of the manual.

Calls, Maturities, Sales - This selection brings you to a pick list that displays all active securities in your portfolio. You will select the security to be disposed, and then click the ***Single Lot*** *or* ***Multi Lot Disposal*** button to enter the disposal information.

Pre-Post **Transactions** - This selection prints or displays a report that lists the transactions to be posted. It is used to check the accuracy of the entries to be posted. There are two options for this report: By Cusip or by Transaction Code

Post - This choice posts the transactions to the master file after you have verified that all entries are correct.

Quarterly - This choice moves you to the *Quarterly* menu.

Export Quarterly Schedule D - This selection will export the quarterly Schedule D data. It scans the master file for records from a specified quarter that belong to the following reports:

Schedule D Part 4	(Bonds and Stocks disposed)
Schedule D Part 5	(Bonds and Stocks acquired and disposed)

It then creates the appropriate output data and sends it to an export file named QSCHD.TXT or Qx_YYYYSCHD.TXT (depending on the annual statement vendor selected. The file will be located in the Export folder which is identified on the main menu. The Export directory can be changed from the Utilities screen.

Acquired Report - This choice asks which quarter you want information on and prints a report listing all securities purchased in the selected quarter.

Disposed Report - This choice asks which quarter you want information on and prints a report listing all securities disposed in the selected quarter.

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Part 1B - This choice asks which quarter you want information on and creates a report listing all information in Schedule Part 1 B. The information provided lists all purchases, dispositions, and non-trading activity broken down by NAIC code.

Verification - This choice allows the user to print a Schedule D and a Schedule DA verification report.

Amortization - This choice moves you to the *Amortization* Routine Menu. This routine is used to create Book Value change transactions.

Full Amortization - The Input for this function asks for the amortization date and then calculates an increase or decrease amount for each Bond and Short Term security. After calculating the Book Value change, the program creates a transaction for each affected security. **The transactions are then posted using the Transaction routine**.

Market - This selection moves you to the *Market* Posting Screen. This screen allows you to enter the Market Rate, the NAIC SVO (Security Valuation Office) Market Price, and the NAIC designation (rating), for each security. It asks you to enter the date for the pricing when you first arrive at the screen. It will not let you move forward until a valid date is entered. This function will calculate market yields and durations for all fixed income securities that have been updated when you choose to return to the *Main* Menu. *See Market Price Import*

Utilities - This selection moves you to the *Utility* sub-menu.

Utility Screen - This selection will open the utility screen where you can edit many of the preferences that control how PortMan operates.

Change Cusip - This allows the user to change a cusip of a security.

Help - This selection moves you to the *Help* sub-menu.

Portman Manual - This selection will open the PDF version of the Portman manual. (Assumes the user's computer has a PDF compatible reading program installed.

Monthly Workflow - This selection will open a PDF version of the recommended Monthly Workflow Check List. (Assumes the user's computer has a PDF compatible reading program installed.

PortMan on The Web - This selection will open the Portman website.

Join a Support Session - This selection will open the online assistance web page. Please call PortMan support and discuss the issue you are experiencing. The support rep will provide an access code to join a meeting if and when it is necessary.

Check for updates –This option will check online for the most current version of Portman. It will inform you if you need to run an update. Option is disabled if FTP is disabled.

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Initial Data Entry

Initial Data Entry is most easily and accurately accomplished by converting your existing data to **PortMan**. Accurate Business Systems can convert most every type of data that you possess into a format that is readable by **PortMan**. In most cases, almost all of the data can be converted, leaving only a small amount of data to be manually entered. Accurate Business Systems will convert your data as part of the Initial Price.

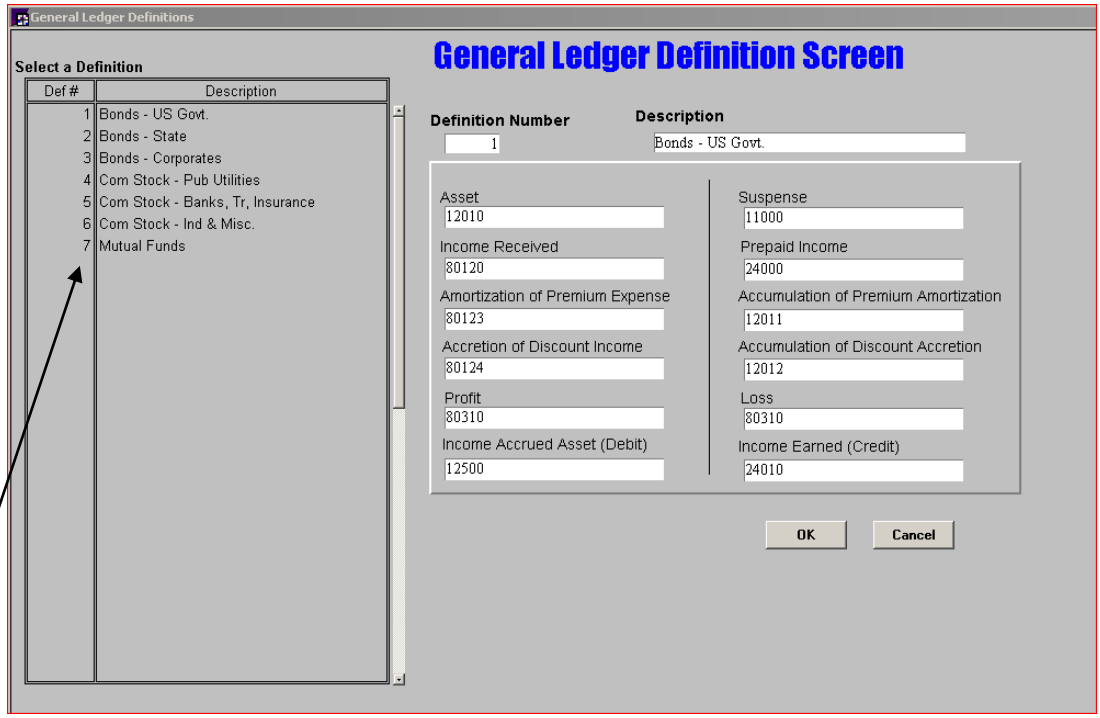
Initial data entry will have to be performed in the cases where the portfolio is managed manually. Ideally, the portfolio should be entered with the holdings as of January 1 of the current year. The instructions to load each security are the same as in the Day to Day System Management section so we will use those instructions.

General Ledger Definitions

Your General Ledger definitions will need to be created before **PortMan** can generate correct GL reports. Each category of security that is in your ledger will have its own definition in **PortMan**. You will most likely have at least two definitions. One for fixed income (bond) securities and one for equities (stocks).

Note: You can get a listing of your definitions by printing the GL Definitions report on the report menu.

To enter the GL definitions choose ***Utilities*** from the Main Menu, then ***G/L Definitions*** from the sub-menu.



On the General Ledger Form, Click on the first empty record to add a new GL Definition.

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Then click into the Definition Number Field on the right-hand side of the form to add the definition number. If this is the first Definition enter a 1 into this field.

Press Enter to add Description of the definition in the description field. The description should be as descriptive as possible. Ex: Long Term Bonds; Preferred Stock; Common Stock…

Press Enter and type in the GL account for the Asset in the Asset field. This is the account that is increased on a purchase, and decreased on a sale.

Press Enter and type the GL account for the Cash or suspense account in the Suspense field. This is decreased on a purchase and increased on a sale.

Press Enter and type the GL account for income received in the Income Received field.

Press Enter and type the GL account for accrued interest paid on a security purchase in the Prepaid Income field.

Press Enter and type the GL account for decreasing the book value of a premium (bought at greater than 100) security in the Amortization of Premium Expense field.

Press Enter and type the GL account for accumulating the amortization of premium in the Accumulation of Premium Amortization field.

Press Enter and type the GL account for increasing the book value of a discount (bought at less than 100) security in the Accretion of Discount Income field.

Press Enter and type the GL account for accumulating the accretion of discount in the Accumulation of Discount Accretion field.

Press Enter and type the GL account for profit on a sold security in the Profit field.

Press Enter and type the GL account for loss on a sold security in the Loss field.

Press Enter and type the GL account for Income Accrued (the debit entry) in the Income Accrued Asset (Debit) field.

Press Enter and type the GL account for Income Earned (the credit entry) in the Income Earned (Credit) field. This is usually the same as the Income Received account.

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Day to Day System Management

Monthly System Workflow

Processing the steps below in the order given will help ensure accurate and successful data entry.

1) VERIFY

a) Prior to entering data for the intended month verify that Month-end processing has been completed for the prior month. You can do this by clicking ***Utilities, Utility Screen*** which will display the Utility Settings window. The transactions you intend to enter should be dated within the month displayed in the **Current Month** field. If that is the case then proceed to step 2. Otherwise, If you find that the Current Month is the month prior to your intended transactions, you will need to skip to step 6 or step 7 as needed and complete the prior month before starting the new month.

2) PROCESS PURCHASES

a) **Add** Purchases and Acquisitions

b) **Pre-Post** acquisition transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** acquisition transactions

3) PROCESS INCOME

a) **Enter** interest, dividend, and principal reduction transactions using ***Transactions, Income.***

b) **Pre-Post** income transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** Income Transactions

4) PROCESS DISPOSALS

a) **Enter** Sales, Maturities and Calls using ***Transactions, Calls, Maturities, Sales.***

b) **Pre-Post** disposal transactions to verify accuracy. Check off Pre-Post report and statement.

c) **Post** disposal transactions

5) VERIFY

a) **Print** Portfolio Report
   i) Compare with Custodial Statements. ***Par and Shares need to match.***

b) **Process**
   i) Accrual
   ii) Amortization
   iii) Verify Pre-Post report, then Post amortization transactions.
   iv) Update Market Prices and Designations from the Market Screen
   v) Book Value Adjustments from the Programs menu choice on the Main Menu.

6) Print Reports

a) Reconciliation
b) GL Summary
c) GL Detail
d) Working Schedule D
e) Others as desired

NOTE: *At Year end, you must print all reports and transfer data to the Annual Statement software before you process step 7.*

7) Month-End **To enter January you must run Year- End

a) **Run Month-End** before starting a new month

Do Not run Step 7 until you are ready to start January. You must run all December 31 reports and transfer files to the annual statement software before you run the Year-End program.

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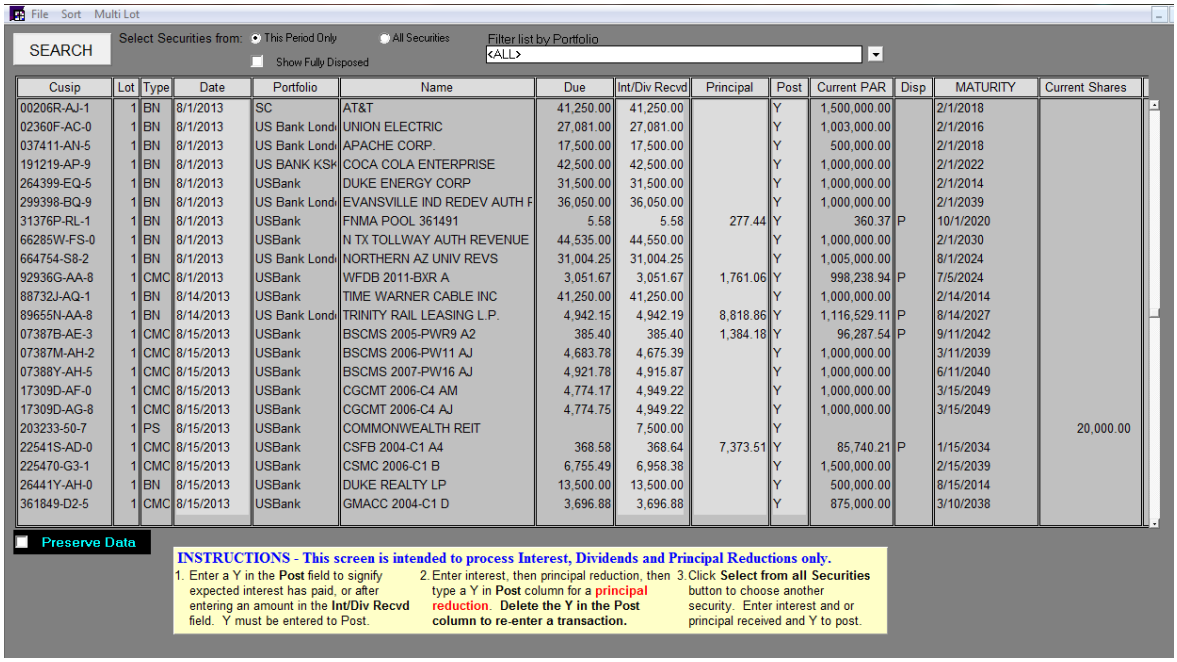
Posting Interest, Dividends and Principal Reductions

The process of recording income payments is remarkably easy using **PortMan**. To post income information chooses ***Transactions*** from the **PortMan** Main Menu, then ***Income*** from the sub menu. You will be looking at a screen that resembles the following:


File Sort Multi Lot
SEARCH
Select Securities from: This Period Only All Securities
Show Fully Disposed
Filter list by Portfolio
<ALL>
Preserve Data
INSTRUCTIONS - This screen is intended to process Interest, Dividends and Principal Reductions only.
1. Enter a Y in the Post field to signify expected interest has paid, or after entering an amount in the Int/Div Recvd field. Y must be entered to Post.
2. Enter interest, then principal reduction, then type a Y in Post column for a principal reduction. Delete the Y in the Post column to re-enter a transaction.
3. Click Select from all Securities button to choose another security. Enter interest and or principal received and Y to post.

Cusip	Lot	Type	Date	Portfolio	Name	Due	Int/Div Recvd	Principal	Post	Current PAR	Disp	MATURITY	Current Shares
00206R-AJ-1	1	BN	8/1/2013	SC	AT&T	41,250.00	41,250.00		Y	1,500,000.00		2/1/2018	
02360F-AC-0	1	BN	8/1/2013	US Bank Londi	UNION ELECTRIC	27,081.00	27,081.00		Y	1,003,000.00		2/1/2016	
037411-AN-5	1	BN	8/1/2013	US Bank Londi	APACHE CORP.	17,500.00	17,500.00		Y	500,000.00		2/1/2018	
191219-AP-9	1	BN	8/1/2013	US BANK KSH	COCA COLA ENTERPRISE	42,500.00	42,500.00		Y	1,000,000.00		2/1/2022	
264399-EQ-5	1	BN	8/1/2013	USBank	DUKE ENERGY CORP	31,500.00	31,500.00		Y	1,000,000.00		2/1/2014	
299398-BQ-9	1	BN	8/1/2013	US Bank Londi	EVANSVILLE IND REDEV AUTH F	36,050.00	36,050.00		Y	1,000,000.00		2/1/2039	
31376P-RL-1	1	BN	8/1/2013	USBank	FNMA POOL 361491	5.58	5.58	277.44	Y	360.37	P	10/1/2020	
66285W-FS-0	1	BN	8/1/2013	USBank	N TX TOLLWAY AUTH REVENUE	44,535.00	44,550.00		Y	1,000,000.00		2/1/2030	
664754-S8-2	1	BN	8/1/2013	US Bank Londi	NORTHERN AZ UNIV REVS	31,004.25	31,004.25		Y	1,005,000.00		8/1/2024	
92936G-AA-8	1	CMC	8/1/2013	USBank	WFDB 2011-BXR A	3,051.67	3,051.67	1,761.06	Y	998,238.94	P	7/5/2024	
88732J-AQ-1	1	BN	8/14/2013	USBank	TIME WARNER CABLE INC	41,250.00	41,250.00		Y	1,000,000.00		2/14/2014	
89655N-AA-8	1	BN	8/14/2013	US Bank Londi	TRINITY RAIL LEASING L.P.	4,942.15	4,942.19	8,818.86	Y	1,116,529.11	P	8/14/2027	
07387B-AE-3	1	CMC	8/15/2013	USBank	BSCMS 2005-PWR9 A2	385.40	385.40	1,384.18	Y	96,287.54	P	9/11/2042	
07387M-AH-2	1	CMC	8/15/2013	USBank	BSCMS 2006-PW11 AJ	4,683.78	4,675.39		Y	1,000,000.00		3/11/2039	
07388Y-AH-5	1	CMC	8/15/2013	USBank	BSCMS 2007-PW16 AJ	4,921.78	4,915.87		Y	1,000,000.00		6/11/2040	
17309D-AF-0	1	CMC	8/15/2013	USBank	CGCMT 2006-C4 AM	4,774.17	4,949.22		Y	1,000,000.00		3/15/2049	
17309D-AG-8	1	CMC	8/15/2013	USBank	CGCMT 2006-C4 AJ	4,774.75	4,949.22		Y	1,000,000.00		3/15/2049	
203233-50-7	1	PS	8/15/2013	USBank	COMMONWEALTH REIT		7,500.00		Y				20,000.00
22541S-AD-0	1	CMC	8/15/2013	USBank	CSFB 2004-C1 A4	368.58	368.64	7,373.51	Y	85,740.21	P	1/15/2034	
225470-G3-1	1	CMC	8/15/2013	USBank	CSMC 2006-C1 B	6,755.49	6,958.38		Y	1,500,000.00		2/15/2039	
26441Y-AH-0	1	BN	8/15/2013	USBank	DUKE REALTY LP	13,500.00	13,500.00		Y	500,000.00		8/15/2014	
361849-D2-5	1	CMC	8/15/2013	USBank	GMACC 2004-C1 D	3,696.88	3,696.88		Y	875,000.00		3/10/2038	

Generating Interest / Dividend Transactions

The Income Posting Screen lists all securities that are scheduled to pay in the current month. All that's needed to post the expected income for a listed security is to enter a Y in the Post column. <u>You can enter a different amount in the **Int/Div Recvd** column if the amount received was different than the expected amount</u>. Then enter a Y in the Post column

If you don't see a security that has paid income, click on the **All Securities** button, and the screen will refresh with your entire portfolio. Your entire portfolio will then be listed in Cusip order. Select the security (by scrolling down and highlighting or by clicking the **Cusip Search** button and typing in the first few characters of the Cusip) and enter the appropriate income amount in the **Int/Div Recvd** column, and enter a **Y** in the **Post** column.

Recording Principal Reduction Transactions

Recording principal reductions are also very easy using **PortMan**. Choose the security from the pick-list and enter the interest in the "Int/Div Recvd" column, enter the principal pay down amount in the "Principal" column, then place a "Y" in the Post column

Recording Multiple Lot Income Transactions

Recording interest, dividend, or principal reductions on investments with multiple lots can be performed by selecting one of the affected lots in the pick-list; then select the **Multi Lot** menu option; from the drop down menu, select the action that is applicable to your need. A pop screen will appear where you

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can enter the totals that are displayed on your statement. When you click OK on the popup, each affected lot will be populated with it's proportional share of the interest, dividend and/or pay down. There are some restrictions to keep in mind when performing Multi-Lot functions.

- Only lots that belong to the same Portfolio will be affected. This means if you have multiple custodial accounts and your portfolios are representative of the custodial accounts, then the amounts entered will be divided only for the lots that belong to the portfolio selected. Conversely, it also means: if your lots are in separate portfolios, but the lots are actually from the same custodial statement, then chances are the entry will not be properly separated into the correct affected lots.
- The lots affected in the transaction will have been acquired on or before the posting date of the transaction. This means if you post your acquisitions first and you purchase an additional lot of an investment on the 20th of the month, and that investment pays interest on the 15th of the month. The new lot will not get a proportionate amount of the income in the first month, because you didn't actually own it on the payment date.

Posting Income and Principal Reduction Transactions

After you are finished with all of your income and principal pay down entries choose *File*, *Exit* to return to the Main Menu. There may be a few moments of work time before the Main Menu appears as all of the appropriate transactions will be generated at this time.

You will now want to print a pre-post report to verify their correctness. You will want to check that all of the code 5 transactions match the interest/dividend amount and the sale amount matches the principal pay down on code 3 transactions. If a transaction is incorrect go back to the Income screen, delete the Y from the Post column, then re-enter the transaction. If all transactions are correct you will post the income/principal pay down transactions.

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Adding New Purchases

You can add new securities to PortMan from three screens.

From the Main Menu or Security Edit Pick list screen - begin by Choosing ***Add*** from the Main, then select the security type that you wish to add.

While viewing the Edit screen of an existing security, you can click the ***Record*** menu and select the security type that you wish to add.

From the Security Edit Pick list, If you wish to add a new lot of an existing security, select the existing lot in the pick list and click the ***Add New Lot*** button.

For each security type that you add, a data entry screen will display and you may proceed to enter the required data. As a general rule, to successfully add a security you will need to provide data for each field that has been labeled on the screen with RED text. In the examples to follow below, those fields will be **bold**, to distinguish that they are required.

Trade Date/Settle date – Quick Entry

Trade date and Settle date fields allow multiple methods and formats for entering dates.

Plus(+) – When the cursor is focused on either a Trade date or Settle date pressing the PLUS(+) on the number pad will increment the date by 1 day. If the field is blank, it will default the field to the first day in the current accounting period.

Minus (-) – When the cursor is focused on either a Trade date or Settle date pressing the MINUS(-) key on the number pad will decrement the date by 1 day. If the field is blank, it will default the field to the last day in the current accounting period.

SHIFT PLUS/Minus – Holding the shift key while pressing either the PLUS or MINUS key on the keypad will increment or decrement the date by ten(10 days

Adding Cash Equivalent Securities

Cash Equivalent securities will be displayed and reported on Schedule E Part 2. On this screen you can add investments owned whose maturities at the time of acquisitions were three months or less and are defined as cash equivalent in accordance with SSAP No 2. DO NOT include Money Market Mutual Funds on this screen.

The Cash Equivalent input screen is displayed below, followed by the fields that are available to you during the initial acquisition of the security.

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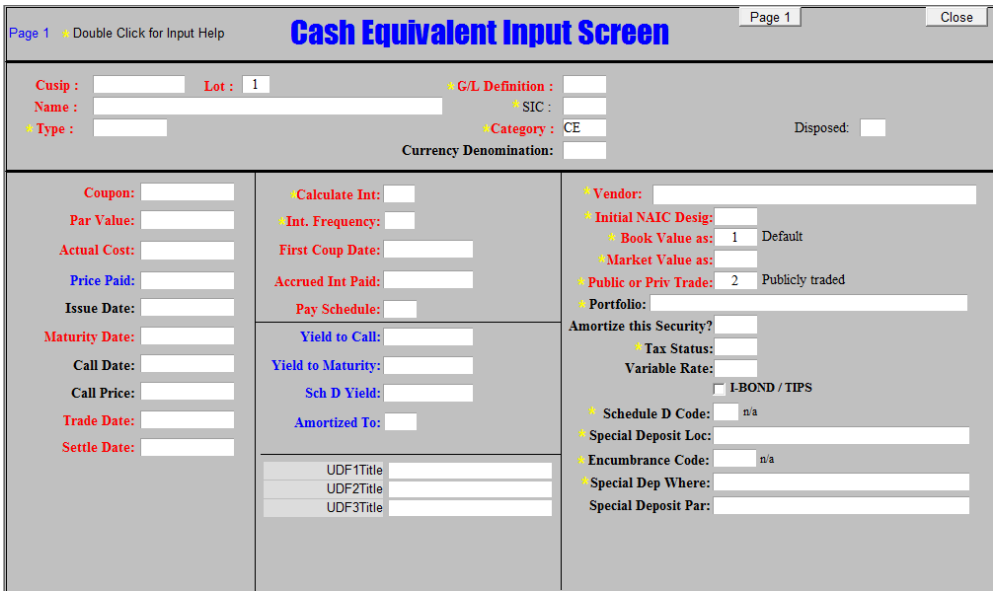

CASH EQUIVALENT FIELDS	DESCRIPTION / INSTRUCTION
CUSIP	Enter the CUSIP for this security. Portman will determine if this CUSIP already exists in your data and use the next available LOT number. Portman will also verify that the cusip meets the mathematical format of a valid CUSIP. PortMan will not lookup the cusip from an external data source to determine validity.
LOT	The Lot number is automatically assigned an incremental number starting at one.
NAME	Enter the Name of the security. This field is limited to 35 characters (The size reportable to the NAIC)
TYPE	Enter the NAIC Category/Type. This field can be changed at anytime. You can double click to get a lookup dialog. A dynamic pick-list appears that is used to select the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. Type the description you are looking for to highlight the choice you want. For instance a US Industrial & Misc, not loan backed security, begin by typing **US**. You will see the US bonds in the list. For a Wyoming Issuer Obligation begin by typing **WYO** Highlight your choice by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled.
GL DEFINITION	Select a pre-defined GL Definition. You can double click to get a lookup dialog. This field can be prospectively changed at any time.
SIC	Standard Industry Classification. Not Required. You can double click to get a lookup dialog.
Category	PortMan internal investment classification. Pre-filled as a result of your choices. Should not be changed.

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Currency Denomination	Indicate the currency standard used to denominate this investment. Blank assumes US dollar.
Coupon	Enter the rate of interest that the security pays in the **Coupon** field. Enter the rate as in the following example: 4.25
Par Value	Enter the Par value of the security in the field. *This field should not be edited after the acquisition security has been posted.
Actual Cost	Enter the Actual cost of the security in the field. *This field should not be edited after the acquisition security has been posted.
Price Paid	Price Paid is auto-filled. This value may be over-ridden, but will only be incorrect if the Par or Actual Cost is entered incorrectly. *This field should not be edited after the acquisition security has been posted.
Issue Date	Enter the **Issue Date** if you desire.
Maturity date	Enter the **Maturity Date** of the security.
Call Date	If the security has a call scheduled, Enter the next future call/option date for the security. Leave the field blank if the security is not callable.
Call Price	Enter the **Call Price** of the security. If the call price is left blank, and there is a valid call date entered, Portman will assume that the call price is $100 per 100 PAR.
Trade date	Enter the **Trade Date** of security.
Settle date	Enter the **Settle Date** of the security.
Calculate Int	Choose the correct interest calculation method from the pick-list in the **Calculate Int** field. (Most every security will be 30-360)
Int Frequency	Choose the correct frequency of interest payment from the pick-list in the **Int Frequency** field
First Coup Date	First Coupon Date is calculated, based on the Interest frequency and Maturity Date data entered. This field displays YOUR first coupon date, not necessarily the first coupon date of the security.
Accrued Int Paid	Accrued Interest Paid should come from your custodial statement at the time of the acquisition. Portman will calculate the amount based on the data that has been entered. Periodically the calculation will not match the information on your custodial statement. In that situation you should enter the amount shown on your statement. *This field should not be edited after the acquisition security has been posted.
Pay Schedule	The Pay Schedule field helps PortMan determine when this security will display on the income screen as being due. Generally the month of the Maturity date will correspond to the Pay Schedule chosen. For instance a security that pays interest semi-annually and matures in August will probably have a Pay Schedule of February-August Pick the appropriate value from the pick-list in the **Pay Schedule** field.
Yield to Call	*Calculated based on data entered - Do Not Edit*
Yield to Maturity	*Calculated based on data entered - Do Not Edit*
Sch D Yield	*Calculated based on data entered - Do Not Edit*
Amortized To	*Calculated based on data entered - Do Not Edit*
UDF1Title	User defined attribute of the security. The actual label may be different(users discretion). Double click field to create, edit or select from a list of choices for this field.
UDF2Title	User defined attribute of the security. The actual label may be different(users discretion). Double click field to create, edit or select from a list of choices for this field.
UDF3Title	User defined attribute of the security. The actual label may be different(users discretion). Double click field to create, edit or select from a list of choices for this field.
Vendor	Vendor from which this security was acquired. Double click field to create, edit or select from a list of choices for this field.

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Initial NAIC Designation	Select the **NAIC Designation** from the pick-list. This is the designation at the time of purchase. *This field should not be edited after the acquisition security has been posted.
Book Value As	Select the method of calculating book value in the **Book Value as** field. Normally this should be **1-Default,** with this setting: the system will show book value as amortized value unless the bond has a low NAIC Designation which will then cause the security to display the lower of amortized or market value. Any other choice for "Book Value As" will force the system to ALWAYS report the book value as that choice. For instance if your company requires you to carry your bonds at Market. then you would choose #3 Market Value.
Market Value As	Select the correct method of calculating market value. Normally use **1-NAIC Tbl value**. Use this even if you do not get your market prices from the NAIC. With this setting: the system will get the Market prices from the **NAIC Px** column on the Market screen. If you use 2**-Market Value**. the system will get the Market prices from the **Market Px** column on the Market screen. Other choices force the system to use those values as Market Price. ***Note**: Be as consistent as possible, using diverse values for different securities will cause confusion.*
Public or Priv Trade	Select the correct value in the **Public or Priv Trade** field. Most all securities will be publicly traded.
Portfolio	Most users use this field to identify which custodial statement the security is held on. If you only have one statement leave blank or set to main.
Amortize this security	Enter an N in the **Amortize this Security?** Field if you choose not to amortize this security. You will choose this if you want to show the gain in T-Bills as interest as opposed to amortization.
Tax Status	Select the correct value in the **Tax Status** field. Double click field to create, edit or select from a list of choices for this field.
Variable Rate	Enter a **Y** if this bond is a **Variable Rate** security. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.
I-Bond / TIPS	Check this box if this lot is an adjustment lot to the PAR of a TIPS security.
Schedule D Code	Double click field to select from a list of choices for this field.
Special Deposit Loc	If the security is held on special deposit, Double click the field to from a list of choices for this field.
Encumbrance Code	Schedule D encumbrance code Double click field to from a list of choices for this field. Leaving the field blank will cause Portman to attempt to determine the proper encumbrance code to use (if any).
Special Dep Where	Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)
Special Deposit PAR	Enter the correct value in the **Special Deposit Par** field.

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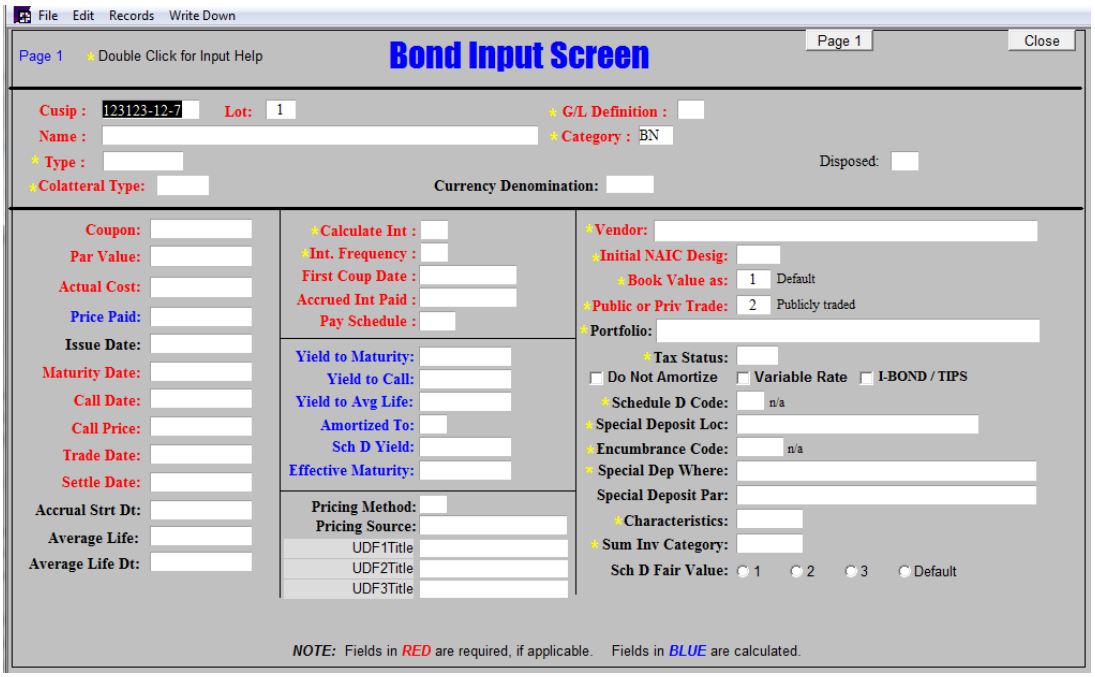
Adding Bonds

Before the instructions begin on adding a Bond we would like to address the issue of adding an agency CMO or Mortgage Backed Pool as a Bond. The Bond security type is ideally set up for use as semi-annual pay or zero coupon fixed income securities. PortMan allows you to enter a monthly pay mortgage-backed security as a bond and you can put it in the correct bucket to show up on Schedule D correctly using the Type field. The issue is that if entered as a Bond the security will amortize to the Stated Maturity date as opposed to the Average Life date which is calculated and will be much shorter. The NAIC instructions state to enter these securities as a CMO or MBS security type so they amortize to the Average Life Date. Feel free to call us to discuss the issue in more depth.

You will begin by Choosing ***Add*** from the Main Menu, then ***Bond*** from the Sub Menu (or, you could also get here by choosing *Add a Bond* from the *Record* Menu of a security input screen).



You are now looking at the Bond Input Screen. There are some things you should note about this entry screen. The fields that need entries are color coded in red. Any field that is not coded in red does not REQUIRE an entry. Other fields that need values will receive them as a result of an automatic calculation or from a transaction update. Also, fields that offer input help have yellow asterisks next to them. With this noted, let's begin.

To begin entering:

Enter the name of the bond in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing

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USA. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click ***OK*** or press ***Enter***. Press **Enter** to move to the Coupon field.

Enter the rate of interest that the bond pays in the **Coupon** field.
Example: enter the rate as 5.25.

Enter the Par value of the bond in the **Par Value** field.

Enter the Actual Cost of the bond in the **Actual Cost** field.

Price Paid is auto-filled. This value may be over-ridden, but will only be incorrect if the Par or Actual Cost is entered incorrectly.

Enter the **Issue Date** if you desire normally you don't need to.

Enter the **Maturity Date** of the bond.

Note: When entering a date in any date field in **PortMan** you may use slashes "/" or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

Enter the date that the bond is callable (if it is) in the **Callable Date** field. (Example: 11/12/12) Leave the field blank if the bond is not callable.

Enter the **Call Price** of the bond, if there is one.

Enter the **Trade Date** of bond. This will be the transaction date of the purchase.

Enter the **Settle Date** of the bond.

Enter the **Accrual Start Date** of the bond. This will almost always be left blank as you usually won't have this information. It is the date from which interest starts accruing for this bond. It is only appropriate if the bond is a new issue and the accrual start date is something other than the previous scheduled coupon date.

Choose the correct interest calculation method from the pick-list in the **Calculate Int** field. (Most every bond will be 30-360. US Treasuries should receive a 2, Actual/Actual)

Choose the correct frequency of interest payment from the pick-list in the **Int Frequency** field.

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First Coupon, Accrued Int Paid, and the Yield fields will be auto-filled. Press Enter to move to the Pay Schedule field.

Note: You can over-ride any of the values that are auto-filled by **PortMan**. But it is advised that you don't change the Sch D Yield field as it is used for Amortization.

Pick the correct payment schedule value from the pick-list in the **Pay Schedule** field.

Press enter to move to the Vendor field.

Pick the correct vendor from the pick-list in the **Vendor** field.

Select the **NAIC Designation** from the pick-list.

Select the correct method of calculating book value in the **Book Value as** field. This should be #1 default as the system will show book value as amortized value unless the bond has a low NAIC Designation which will then cause the security to display the lower of amortized or market value. The only exception is if your company requires you to carry your bonds at Market. In this case you will choose #3 NAIC market price.

Select the correct method of calculating market value in the **Market Value as** field. You will normally use #1 NAIC Table value. Use this even if you do not get your market prices from the NAIC. This just tells the system to get the Market prices from the NAIC column on the Market screen.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct value in the **Portfolio** field. This field is important as it will break your holdings into the separate portfolios on your Portfolio report. The Portfolio report is used to make sure your holdings match the bank each month.

You can end here for a typical bond purchase. The rest of the fields will receive values as appropriate.

Select the correct value in the **Tax Status** field. You don't need to enter anything here. This field is used in the tax report on the print menu. Most customers don't use this report.

If this bond is a **Variable Rate** security, check the appropriate box. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.

If this bond is an adjusting lot for an **IBONDS / TIPS** security, check the appropriate box.

IF you have securities on special deposit THEN select the correct value for the next three fields.

Select the correct value in the **Special Deposit Location** field.

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Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The bond is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File**, **Exit** to move to the main menu.

There are 3 pages (screens) on a bond record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper right hand corner of the screen.

Note: If you choose to move off Page 1 you will be prompted with a question that asks "Create the general ledger transactions associated with this security?" Choose Yes to create the GL transactions. If you don't say yes to the question **PortMan** will generate the transactions when you leave the new security.

Note: You can recalculate yields by choosing Edit - Recalculate Yields from the Main Menu.

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Adding Short Term Securities

You will begin by Choosing ***Add*** from the Main Menu, then ***Short Term*** from the Sub Menu (or, you could also get here by choosing *Add a Short Term* from the *Record* Menu of a security input screen).

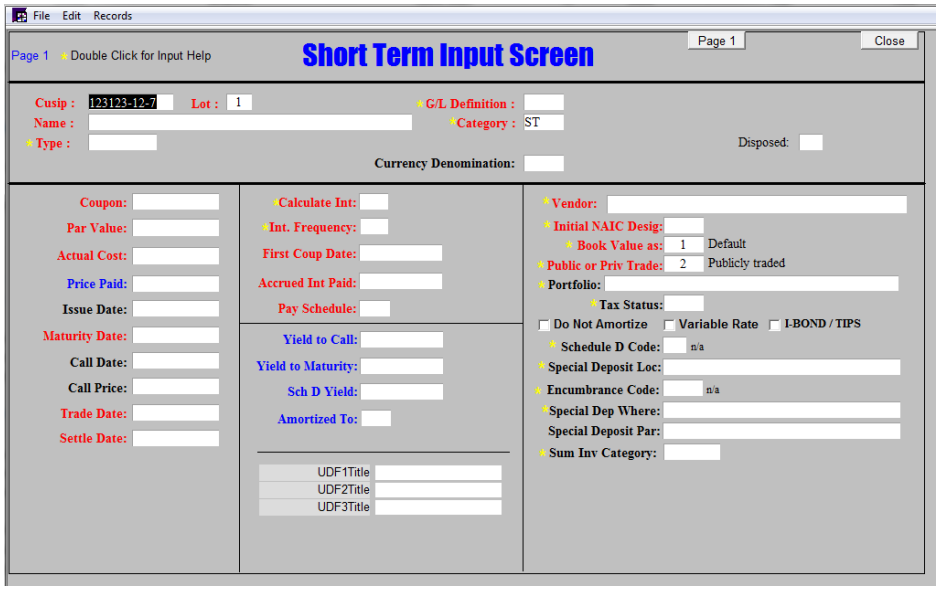
To begin entering:

Enter the Cusip in the Cusip field.

Lot is auto-filled. Press ***Enter***.

Enter the name of the security in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **US**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.



You will see a pick-list that contains the **General Ledger definitions** for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click ***OK*** or press ***Enter***.

Enter the rate of interest that the security pays in the **Coupon** field. Enter the rate as in the following example: 4.25.

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Enter the Par value of the security in the **Par Value** field.

Enter the Actual Cost of the security in the **Actual Cost** field.

Price Paid is auto-filled. This value may be over-ridden, but will only be incorrect if the Par or Actual Cost is entered incorrectly.

Enter the **Issue Date** if you desire.

Enter the **Maturity Date** of the security.

Note: When entering a date in any date field in **PortMan** you may use slashes "/" or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

Enter the date that the security is callable (if it is) in the **Callable Date** field. (EX: 3/31/05) Leave the field blank if the security is not callable.

Enter the **Call Price** of the security, if there is one.

Enter the **Trade Date** of security.

Enter the **Settle Date** of the security.

Choose the correct interest calculation method from the pick-list in the **Calculate Int** field. (Most every security will be 30-360)

Choose the correct frequency of interest payment from the pick-list in the **Int Frequency** field.

First Coupon, Accrued Int Paid, and the Yield fields will be auto-filled, and Modified Duration is calculated. Press Enter to move to the Pay Schedule field.

Note: You can over-ride any of the values that are auto-filled by **PortMan**. But don't change the Sch D Yield field as it is used for Amortization.

Pick the correct payment schedule value from the pick-list in the **Pay Schedule** field.

Press enter to move to the Vendor field.

Pick the correct vendor from the pick-list in the **Vendor** field.

Select the **NAIC Designation** from the pick-list.

Select the correct method of calculating book value in the **Book Value as** field. This should be #1 default as the system will show book value as amortized value unless the bond has a low NAIC Designation which will then cause the security to display the lower of amortized or market value. The

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only exception is if your company requires you to carry your bonds at Market. In this case you will choose #3 NAIC market price.

Select the correct method of calculating market value in the **Market Value as** field. You will normally use #1 NAIC Table value. Use this even if you do not get your market prices from the NAIC. This just tells the system to get the Market prices from the NAIC column on the Market screen.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct value in the **Portfolio** field.

Select the correct value in the **Tax Status** field.

If you choose not to amortize this security, check the **Do Not Amortize** field. You will choose this if you want to show the gain in T-Bills as interest as opposed to amortization.

If this bond is a **Variable Rate** security, check the appropriate box. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.

If this bond is an adjusting lot for an **IBONDS / TIPS** security, check the appropriate box.

IF you have securities on special deposit THEN select the correct value for the next three fields.

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field. NOTE: When only a partial amount of an investment lot is pledged, we recommend that use

That's it. The security is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File**, **Exit** to move to the main menu.

There are 3 pages (screens) on a short term record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper left hand corner of the screen.

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Is this security a CMO or MBS?

There can be significant differences between a **M**ortgage **B**acked **S**ecurity and a **C**ollateralized **M**ortgage **O**bligation. But at the same time, there are many similarities. To be brief, a MBS is security that is a pool of mortgage loans. They pay monthly payments of interest and principal to the investor from the first month of issue until the entire principal is repaid.

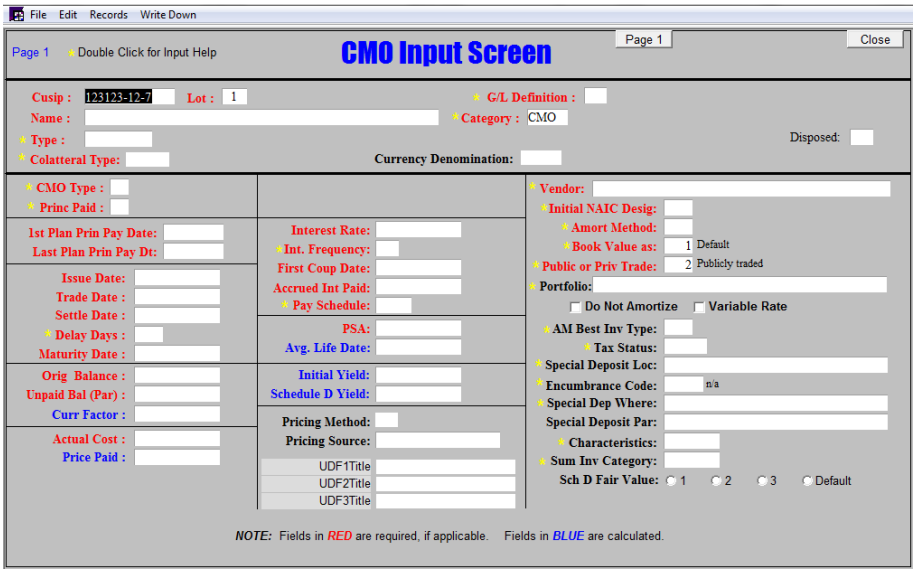
A CMO is usually backed by mortgages (they can also be backed by any number of other types of expected payments), but they don't have to pay the principal back every month. A CMO takes the cash flow stream from the backing instruments and repackages them in different segments (called tranches) that have differing pay-back characteristics. They usually pay monthly, but they don't have to. It is also common for a CMO to pay interest for a specified period of time, and then start paying down principal. **PortMan** handles these events using industry standard conventions.

It is also worth noting that MBS's can be entered as CMO's, but not vice versa. If a MBS is entered without any of the special features of a CMO it will be handled the same as if you entered it as a MBS.

We recommend that you enter a monthly pay MBS or CMO as a Bond security type if you don't receive the extra information that MBS's and CMO's require. Everything will be handled the same except for amortization. If you don't have correct PSA's for MBS's and CMO's and update them regularly you defeat the purpose of entering them as an MBS or CMO.

Adding CMO's

You will begin by Choosing ***Add*** from the Main Menu, then ***CMO*** from the Sub Menu (or, you could also get here by choosing *Add a CMO* from the *Record* Menu of a security input screen).



You are now looking at the CMO Input Screen. There are some things you should note about this entry screen. The fields that need entries are color coded in red. Any field that is not coded in red does not require an entry. Other fields that need

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values will receive them as a result of an automatic calculation or from a transaction update. Also, fields that offer input help have yellow asterisks next to them. With this noted, let's begin.

Note: The special information that is required to correctly complete a CMO entry can be found on Bloomberg screens that should accompany your purchase. The Bloomberg DES page will contain all of the information needed except 1st plan principal payment, which is on the CFT page.

To begin entering:

Enter the Cusip in the **Cusip** field.

Lot is auto-filled. Press ***Enter***.

Enter the name of the CMO in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **USA**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click ***OK*** or press ***Enter***.

Pick the correct type of CMO in the **CMO Type** field. 99 percent will be Non Accrual, which is the default choice. An Accrual CMO accrues the interest that is payable and pays it at a later date.

Select the principal payment method in the **Princ Paid** field. Most all CMO's will be regular, which is the default. ***Principal Only*** pays only principal, with no interest payments. ***Interest Only*** pays only interest, with no principal payments. IO ettes pay a small portion of principal and the regular portion of interest. These last three types are very risky and generally used for hedging purposes. **PortMan** only supports regular CMO's.

Enter the date that is the scheduled to receive the first principal payment in the **1st Plan Prin Pay Date** field. *Only make an entry if the there is a stated delay in principal payments. There is no need to enter next month's pay date.*

Enter the date that is the scheduled to receive the last principal payment in the **Last Plan Prin Pay Dt** field. *Only make an entry if the there is a stated last payment date in principal payments.*

Enter the **Issue Date** of the CMO.

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Enter the **Trade Date** of CMO. This will be the transaction date of the purchase.

Enter the **Settle Date** of the CMO.

Select the days delayed of payments in **Delay Days** field. It may help you to subtract 30 days from the entries on the list. A 44 day delay pays on the 15th.

Enter the **Maturity Date** of the bond.

Note: When entering a date in any date field in **PortMan** you may use slashes "/" or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

Enter the value of the securities original Par in the **Orig Balance** field. This is the amount of par that was associated with your security when it was issued. If you don't have this information, it will be calculated when you enter the current factor.

Enter the current Par value in the **Unpaid Bal** field. This is the Par Value you are purchasing.

If you entered data in the Orig Balance and Unpaid Bal fields the **Curr Factor** field is auto-filled. If you don't have an original balance value, but you do have a factor you can enter it now. The Orig Balance field will then be auto filled.

Enter the correct value in the **Actual Cost** field.

The **Price Paid** field is auto-filled.

Enter the Coupon rate in the **Interest Rate** field.

Select the correct value for the **Int Frequency** field.

First Coupon Date and **Accrued Interest Paid** are auto-filled. Both values can be overwritten if you know them to be incorrect.

Select the correct value for the **Pay Schedule** field.

Type the correct value in the **PSA** field. Average Life, Yield, and Modified Duration are automatically calculated.

Press enter until you move to the Vendor field.

Select the correct **Vendor** who supplied this CMO.

Select the **Initial NAIC designation**. CMO's issued by an agency will have a designation of 1.

Select the proper **Amortization Method**.

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Note: The available choices on this pick list are: 1. Prospective, 2. Retrospective, and 3. No Amortization. These choices are explained as follows.

Prospective amortization recalculates the yield every month using the current Book Value and the new projected cash flows. Retrospective amortization recalculates the yield every month using the Actual Cost at time of purchase, the purchase date, the historical cash flows, and the new projected cash flows.

This new yield is then used to calculate the book value in the upcoming month.

Select the correct method of calculating book value in the **Book Value as** field.

Select the correct method of calculating market value in the **Market Value as** field.

Select the correct method of calculating Statement value (column 16 in Schedule D) in the **Stmnt Val as, Col 16** field.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct category for AM Best's ABS Valuation and Duration Analysis in the **AM Best Inv Type** field. Most, if not all of your CMO securities will have a code 3, 4, or 5. Your investment counselor can provide more information.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

If you choose not to amortize this security, check the **Do Not Amortize** field. You will choose this if you want to show the gain in T-Bills as interest as opposed to amortization.

If this bond is a **Variable Rate** security, check the appropriate box. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.

IF you have securities on special deposit THEN select the correct value for the next three fields.
Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The CMO is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File**, **Exit** to move to the main menu.

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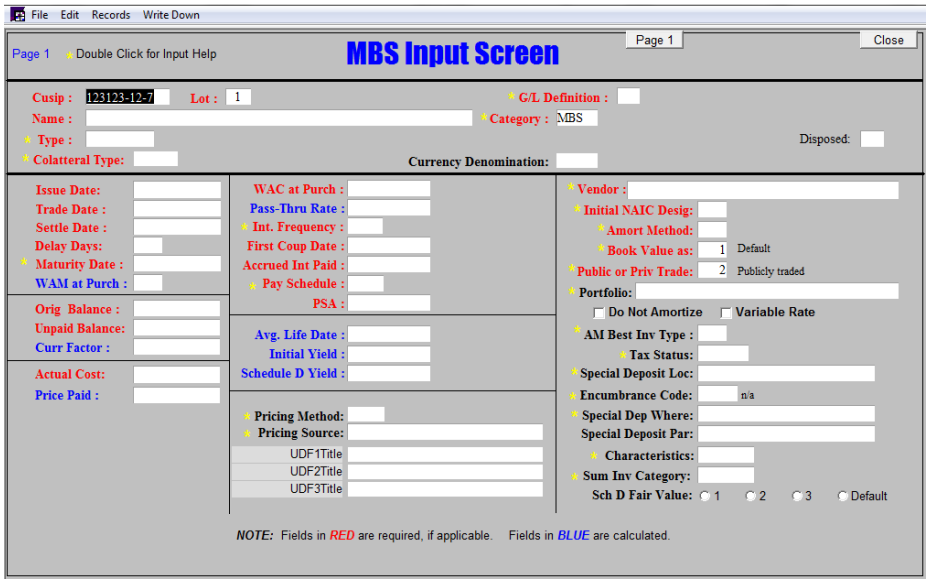
There are 4 pages (screens) on a CMO record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. Page 4 contains the historical and projected cash flow schedule. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3**, or **Page 4** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper left hand corner of the screen.

Note: If you choose to move off Page 1 you will be prompted with a question that asks "Create the general ledger transactions associated with this security?" Choose Yes to create the GL transactions. If you don't say yes to the question, **PortMan** will generate the transactions when you leave the new security.

Adding MBS's

You will begin by Choosing ***Add*** from the Main Menu, then ***MBS*** from the Sub Menu (or, you could also get here by choosing *Add a MBS* from the *Record* Menu of a security input screen).



You are now looking at the MBS Input Screen. There are some things you should note about this entry screen. The fields that need entries are color coded in red. Any field that is not coded in red does not need an entry. Other fields that need values will receive them as a result of an automatic calculation or from a transaction update. Also, fields that offer input help have yellow asterisks next to them. With this noted, let's begin.

Note: The special information that is required to correctly complete a MBS entry can be found on Bloomberg screens that should accompany your purchase. The Bloomberg DES & YT pages will contain all of the information needed.

To begin entering:
Enter the name of the MBS in the **Name** field.

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A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **USA**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click ***OK*** or press ***Enter***. Press **Enter** to move to the Issue Date field.

Enter the **Issue Date** of the MBS.

Enter the **Trade Date** of MBS.

Enter the **Settle Date** of the MBS.

Select the days delayed of payments in **Delay Days** field. It may help you to subtract 30 days from the entries on the list. A 44 day delay pays on the 15th.

Enter the **Maturity Date** of the bond.

Note: When entering a date in any date field in **PortMan** you may use slashes "/" or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

WAM (Weighted Average Maturity) is auto-filled.

Enter the value of the securities original Par in the **Orig Balance** field. This is the amount of par that was associated with your security when it was issued. If you don't have this information, it will be calculated when you enter the current factor.

Enter the current Par value in the **Unpaid Bal** field. This is the Par Value you are purchasing.

If you entered data in the Orig Balance and Unpaid Bal fields the **Curr Factor** field is auto-filled. If you don't have an original balance value, but you do have a factor you can enter it now. The Orig Balance field will then be auto filled.

Enter the correct value in the **Actual Cost** field.

The **Price Paid** field is auto-filled.

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Enter the Weighted Average Coupon in the **WAC** field. This is average coupon rate of the pooled securities. It is usually .5 % higher than the Pass Through coupon rate.

Note: Weighted Average Coupon is not the rate that you are paid. Pass Thru Rate is the coupon you are paid.

The Coupon rate is auto-filled in the **Pass Thru Rate** field. This is the coupon rate paid to you. You can change the value if needed.

Select the M for Monthly in the **Int Frequency** field.

First Coupon Date and **Accrued Interest Paid** are auto-filled. Both values can be overwritten if you know them to be incorrect.

Select the correct value for the **Pay Schedule** field.

Type the correct value in the **PSA** field. Average Life, Yield, and Modified Duration are automatically calculated.

Press enter until you move to the Vendor field.

Select the correct **Vendor** who supplied this MBS.

Select the **Initial NAIC designation**. MBS's issued by an agency will have a designation of 1.

Select the proper **Amortization Method**.

Note: The available choices on this pick list are: 1. Prospective, 2. Retrospective, and 3. No Amortization. These choices are explained as follows.

Prospective amortization recalculates the yield every month using the current Book Value and the new projected cash flows.

Retrospective amortization recalculates the yield every month using the Actual Cost at time of purchase, the purchase date, the historical cash flows, and the new projected cash flows.

This new yield is then used to calculate the book value in the upcoming month.

Select the correct method of calculating book value in the **Book Value as** field.

Select the correct method of calculating market value in the **Market Value as** field.

Select the correct method of calculating Book value (column 16 in Schedule D) in the **Book Val as** field.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

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Select the correct category for AM Best's ABS Valuation and Duration Analysis in the **AM Best Inv Type** field. Your MBS securities will have a code 1 or 2. Code 1 is for fixed rate coupons (vast majority); Code 2 is for variable rate coupons.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

If you choose not to amortize this security, check the **Do Not Amortize** field. You will choose this if you want to show the gain in T-Bills as interest as opposed to amortization.

If this bond is a **Variable Rate** security, check the appropriate box. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.

IF you have securities on special deposit THEN select the correct value for the next three fields.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The MBS is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File**, **Exit** to move to the main menu.

There are 4 pages (screens) on a MBS record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. Page 4 contains the historical and projected cash flow schedule. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3**, or **Page 4** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper left hand corner of the screen.

Note: If you choose to move off Page 1 you will be prompted with a question that asks "Create the general ledger transactions associated with this security?" Choose Yes to create the GL transactions. If you don't say yes to the question **PortMan** will generate the transactions when you leave the new security.

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Adding Stocks

Stocks require less data entry then bonds. There are numerous fields on the stock screen that do not necessarily require an entry. They are there to be used on an as needed basis. *(Note: Required fields are listed in RED)*

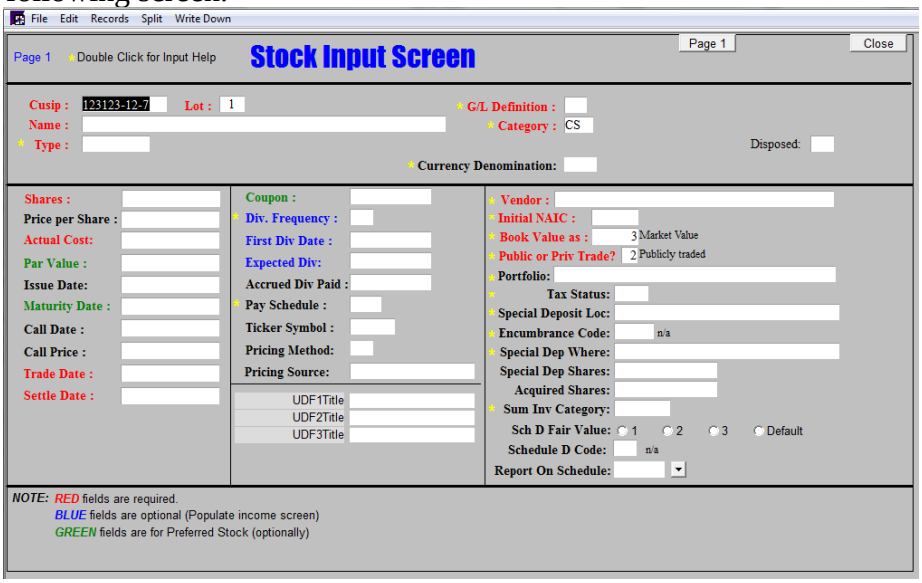
The only required fields of entry for a stock are:

Cusip	Shares	Vendor
Name	Actual Cost	Initial NAIC
Type (NAIC Ctgy)	Trade Date	Book Value as
GL Definition	Settle Date	Market Value as

If you want a Stock's dividend amount to be included in the end of month reports, and on the income list, you will need to fill in the following fields in addition to those above:
(Note: Fields listed in Blue)
Dividend Frequency, First Due Date, Expected Dividend Amount

You will begin by Choosing ***Add*** from the Main Menu, then ***Stocks*** from the Sub Menu.

You will see the following screen.



To begin entering:

Enter the Cusip in the **Cusip** field.

Lot is auto-filled. Press ***Enter***.

Enter the name of the Stock in the **Name** field.

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A pick-list appears that is used to define the type of stock you are purchasing. This list contains all of the definitions of the NAIC categories for Common and Preferred Stock securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Common Stock - Industrial & Misc, begin by typing **USA**. You will see the US stocks in the list. The second choice is the category we need. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click ***OK*** or press ***Enter***.

Enter the number of **Shares** that you purchased.

Enter the per share stock price in the **Price Paid** field. EX: If you paid $3,450.00 for a hundred shares you will enter 34.50. **You can also skip this field and enter Actual Cost. Price Paid will then be auto-filled.**

Actual Cost is auto-filled if you enter Price Paid. You can enter Actual Cost and Price Paid will be auto-filled.

Enter the Par Value of a Preferred stock in the **Par Val / Share** field, if there is one.

Enter the **Issue Date** if you desire.

Enter the **Maturity Date**, if appropriate.

Enter the date that the stock is callable (if it is) in the **Callable Date** field. Leave blank if appropriate.

Enter the call price of the stock (if it is) in the **Call Price** field. Leave blank if appropriate.

Enter the **Trade Date**.

Enter the **Settle Date.**

Enter the coupon in the **Coupon** field, Leave blank if appropriate

Select the appropriate Dividend Frequency in the **Div Frequency** field. Stocks usually pay quarterly.

Enter the first Dividend pay date of the year in the **First Div Date** field. This field and Expected Dividend must have a value entered to print on the Expected Dividend Payment report that prints with the Month End reports.

Enter the dividend amount in the **Expected Div** field.

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Enter the **Accrued Dividend Paid**, if there was one.

Select the correct dividend Pay Schedule.

Select the correct **Vendor** who supplied this stock.

Select the **Initial NAIC designation**.

Select the correct method of reporting book value in the **Book Value as** field.

Select the correct method of reporting market value in the **Market Value as** field.

Select the correct method of reporting statement value in the **Statement Val as** field.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publicly traded.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

IF you have securities on special deposit THEN select the correct value for the next three fields. (**PortMan** will export this data to Schedule E section 2 of your Statement Software)

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Shares** field.

That's it. The stock is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File**, **Exit** to move to the main menu.

There are 3 pages (screens) on a Stock record. You have just finished entering Page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3**from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper right hand corner of the screen.

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Completing Acquisition Transactions

After entering all of the purchases for the month you need to verify that the transaction information is entered correctly. For input checking you will want to print the **Pre-Post Transactions** report. The **Pre-Post Transactions** report is a one sided (single entry) accounting report that lists each security with the associated **PortMan** transaction Code. The report is found under the *Transaction Menu*.

If all transactions are correct you should run a backup. This will ensure that you can recover if an entry is incorrect, or the power goes out while you're posting the transactions. Choose ***Transactions***, ***Post Transactions*** to post. A posting is required because there are internal events (such as quarterly information) that must be recorded in the system.

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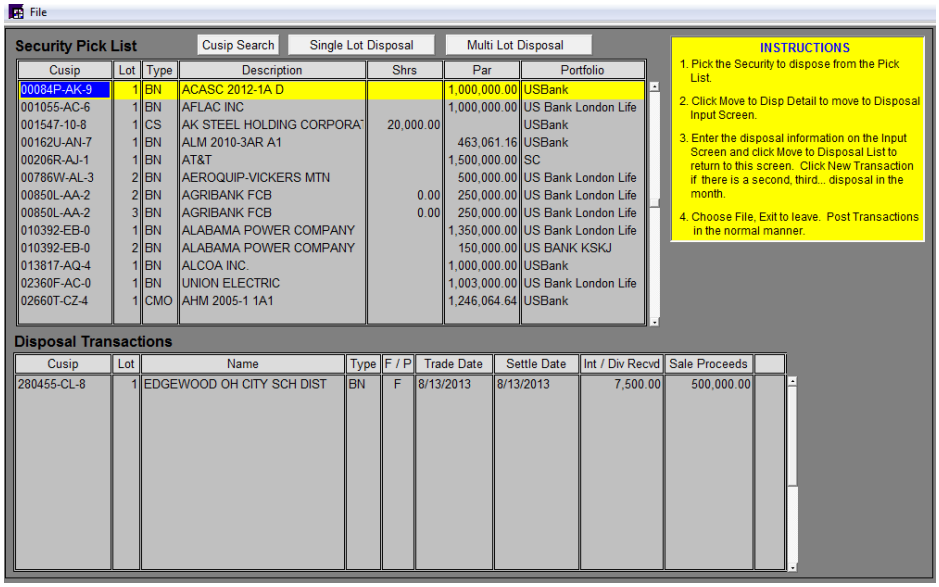
Disposing Securities

To dispose a security you will choose ***Transactions***, from the Main Menu, then ***Calls, Maturities, Sales*** from the sub-menu. You will be brought to a screen that looks like the following:


File
Security Pick List
Cusip Search
Single Lot Disposal
Multi Lot Disposal
INSTRUCTIONS
1. Pick the Security to dispose from the Pick List.
2. Click Move to Disp Detail to move to Disposal Input Screen.
3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third... disposal in the month.
4. Choose File, Exit to leave. Post Transactions in the normal manner.
Cusip | Lot | Type | Description | Shrs | Par | Portfolio
00084P-AK-9 | 1 | BN | ACASC 2012-1A D | | 1,000,000.00 | USBank
001055-AC-6 | 1 | BN | AFLAC INC | | 1,000,000.00 | US Bank London Life
001547-10-8 | 1 | CS | AK STEEL HOLDING CORPORA | 20,000.00 | | USBank
00162U-AN-7 | 1 | BN | ALM 2010-3AR A1 | | 463,061.16 | USBank
00206R-AJ-1 | 1 | BN | AT&T | | 1,500,000.00 | SC
00786W-AL-3 | 2 | BN | AEROQUIP-VICKERS MTN | | 500,000.00 | US Bank London Life
00850L-AA-2 | 2 | BN | AGRIBANK FCB | 0.00 | 250,000.00 | US Bank London Life
00850L-AA-2 | 3 | BN | AGRIBANK FCB | 0.00 | 250,000.00 | US Bank London Life
010392-EB-0 | 1 | BN | ALABAMA POWER COMPANY | | 1,350,000.00 | US Bank London Life
010392-EB-0 | 2 | BN | ALABAMA POWER COMPANY | | 150,000.00 | US BANK KSKJ
013817-AQ-4 | 1 | BN | ALCOA INC. | | 1,000,000.00 | USBank
02360F-AC-0 | 1 | BN | UNION ELECTRIC | | 1,003,000.00 | US Bank London Life
02660T-CZ-4 | 1 | CMO | AHM 2005-1 1A1 | | 1,246,064.64 | USBank
Disposal Transactions
Cusip | Lot | Name | Type | F / P | Trade Date | Settle Date | Int / Div Recvd | Sale Proceeds
280455-CL-8 | 1 | EDGEWOOD OH CITY SCH DIST | BN | F | 8/13/2013 | 8/13/2013 | 7,500.00 | 500,000.00

To dispose a security:

Pick the security to dispose by selecting it from the Pick List.

You can either scroll through the list using:

- the arrow keys;
- the mouse;
- or you can click on the Cusip Search button to search by cusip or description.

When the desired security is highlighted

- To dispose of the selected LOT - click the "Single Lot Disposal" button to enter a single lot disposal
- To dispose of multiple lots of the selected CUSIP - click the "Multi Lot Disposal" button.

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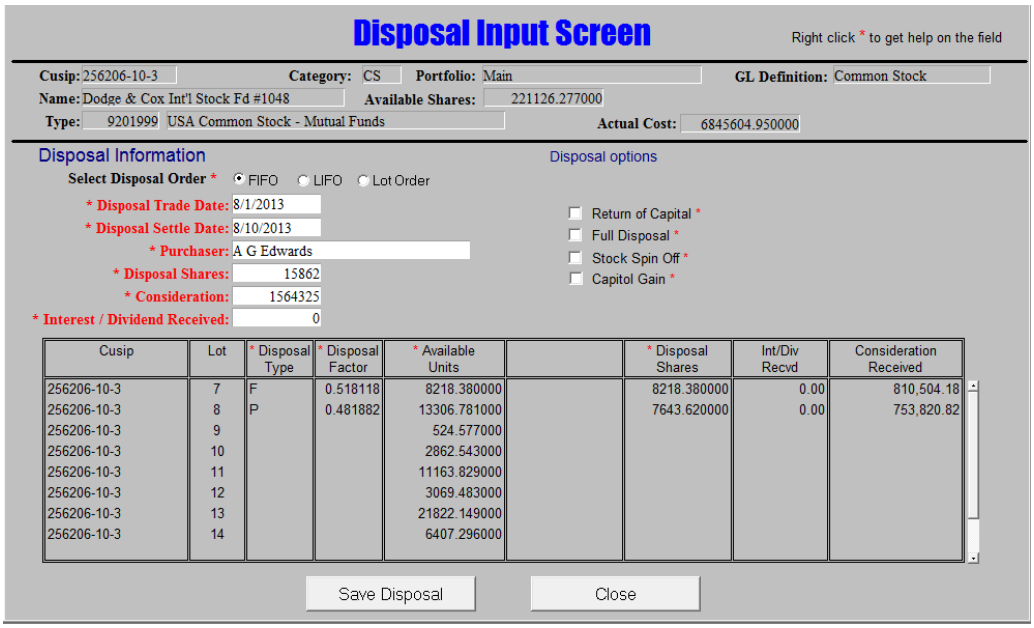
Single Lot Disposal / Multi-Lot Disposals

To dispose tax lots of a security in one transaction you will choose ***Transactions***, from the Main Menu, then ***Calls, Maturities, Sales*** from the sub-menu.

You will then click on any lot of the security you wish to dispose.
NOTE*:If you have multiple portfolio's you will need to ensure that you click on a lot for the correct portfolio.*

When the correct lot is selected click the "Single Lot Disposal" or "Multi Lot Disposal" button. You will then see a screen similar to the one below:


Disposal Input Screen
Right click * to get help on the field
Cusip: 256206-10-3
Category: CS
Portfolio: Main
GL Definition: Common Stock
Name: Dodge & Cox Int'l Stock Fd #1048
Available Shares: 221126.277000
Type: 9201999 USA Common Stock - Mutual Funds
Actual Cost: 6845604.950000
Disposal Information
Disposal options
Select Disposal Order * FIFO LIFO Lot Order
* Disposal Trade Date: 8/1/2013
* Disposal Settle Date: 8/10/2013
* Purchaser: A G Edwards
* Disposal Shares: 15862
* Consideration: 1564325
* Interest / Dividend Received: 0
Return of Capital *
Full Disposal *
Stock Spin Off *
Capitol Gain *
Cusip | Lot | * Disposal Type | * Disposal Factor | * Available Units | | * Disposal Shares | Int/Div Recvd | Consideration Received
256206-10-3 | 7 | F | 0.518118 | 8218.380000 | | 8218.380000 | 0.00 | 810,504.18
256206-10-3 | 8 | P | 0.481882 | 13306.781000 | | 7643.620000 | 0.00 | 753,820.82
256206-10-3 | 9 | | | 524.577000
256206-10-3 | 10 | | | 2862.543000
256206-10-3 | 11 | | | 11163.829000
256206-10-3 | 12 | | | 3069.483000
256206-10-3 | 13 | | | 21822.149000
256206-10-3 | 14 | | | 6407.296000
Save Disposal
Close

Enter the proper information to record the disposal. The fields and values are:

Select Disposal Order: FIFO (First in First out, This is the default) or LIFO (Last in First Out), Lot Number Order

Disposal Trade Date: Enter the date that the security was sold.

Disposal Settle Date: Enter the date the disposal was settled.

Purchaser: Enter the Purchaser of the security.

Disposal Shares: Enter the amount of shares sold on a disposal of stock.

Disposal PAR: Enter the amount of PAR sold on a disposal of a BOND, CMO, MBS or Short Term.

Consideration: Enter the Sale Amount (the amount received) for the security.

Interest / Dividend Received: Enter the amount of interest or dividend received as a result of this disposal. A blank indicates zero received.

Disposal Options:

Matured: Check this box if the security has matured.

Return of Capital: Check this box if the transaction is a Return of Capital and you are not disposing of any shares.

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NOTE: A return of capital that **exceeds** the actual cost must be processed in two transactions. The first transaction will be a Return of Capital for the amount of the Actual Cost. Then you will process a second transaction as a Capital Gain for the difference

Capital Gain: Check this box if the transaction is a Capital Gain and you are not disposing of any shares.

Stock Spin Off: Check this box to dispose of a portion of the cost basis as a result of a Stock spin-off. This is for the actual spin-off, not for the disposal of any resulting fractional shares on the new spun security.

Click the "Save Disposal" button to save your entries, click close to cancel.

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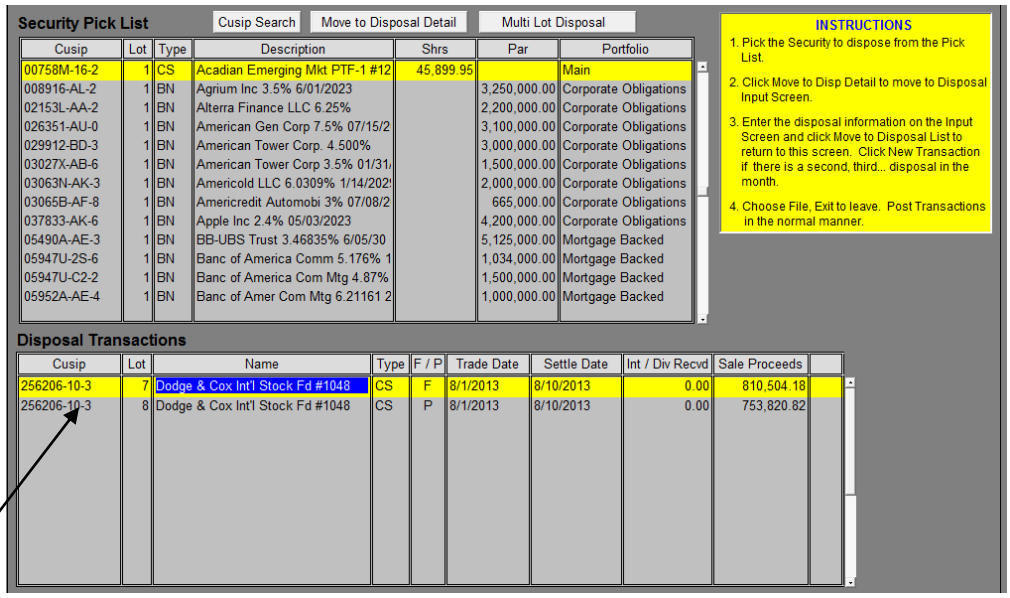
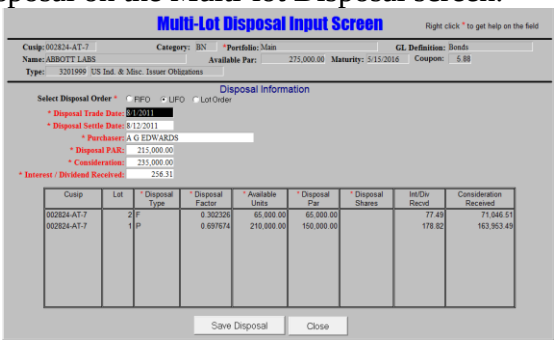
Editing a Disposal


Security Pick List
Cusip Search
Move to Disposal Detail
Multi Lot Disposal
INSTRUCTIONS
1. Pick the Security to dispose from the Pick List.
2. Click Move to Disp Detail to move to Disposal Input Screen.
3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third... disposal in the month.
4. Choose File, Exit to leave. Post Transactions in the normal manner.
Cusip | Lot | Type | Description | Shrs | Par | Portfolio
00758M-16-2 | 1 | CS | Acadian Emerging Mkt PTF-1 #12 | 45,899.95 | | Main
008916-AL-2 | 1 | BN | Agrium Inc 3.5% 6/01/2023 | | 3,250,000.00 | Corporate Obligations
02153L-AA-2 | 1 | BN | Alterra Finance LLC 6.25% | | 2,200,000.00 | Corporate Obligations
026351-AU-0 | 1 | BN | American Gen Corp 7.5% 07/15/2 | | 3,100,000.00 | Corporate Obligations
029912-BD-3 | 1 | BN | American Tower Corp. 4.500% | | 3,000,000.00 | Corporate Obligations
03027X-AB-6 | 1 | BN | American Tower Corp 3.5% 01/31 | | 1,500,000.00 | Corporate Obligations
03063N-AK-3 | 1 | BN | Americold LLC 6.0309% 1/14/202 | | 2,000,000.00 | Corporate Obligations
03065B-AF-8 | 1 | BN | Americredit Automobi 3% 07/08/2 | | 665,000.00 | Corporate Obligations
037833-AK-6 | 1 | BN | Apple Inc 2.4% 05/03/2023 | | 4,200,000.00 | Corporate Obligations
05490A-AE-3 | 1 | BN | BB-UBS Trust 3.46835% 6/05/30 | | 5,125,000.00 | Mortgage Backed
05947U-2S-6 | 1 | BN | Banc of America Comm 5.176% 1 | | 1,034,000.00 | Mortgage Backed
05947U-C2-2 | 1 | BN | Banc of America Com Mtg 4.87% | | 1,500,000.00 | Mortgage Backed
05952A-AE-4 | 1 | BN | Banc of Amer Com Mtg 6.21161 2 | | 1,000,000.00 | Mortgage Backed
Disposal Transactions
Cusip | Lot | Name | Type | F / P | Trade Date | Settle Date | Int / Div Recvd | Sale Proceeds
256206-10-3 | 7 | Dodge & Cox Int'l Stock Fd #1048 | CS | F | 8/1/2013 | 8/10/2013 | 0.00 | 810,504.18
256206-10-3 | 8 | Dodge & Cox Int'l Stock Fd #1048 | CS | P | 8/1/2013 | 8/10/2013 | 0.00 | 753,820.82

To edit a disposal from the disposal screen (above);

- Use the mouse to double-click the Disposal transaction that you want to edit. This will display the disposal on the Multi-lot Disposal screen.



- Edit the disposal as needed and click the "Save Disposal" button.
- or click the CLOSE button, to cancel the edit.

  Notes:
  - *If the record is part of a multi-lot disposal, all lots related to that disposal will be displayed.*
  - *If this is a single lot disposal, only the disposed lot will be visible.*
  - *If the disposal has already been posted, you will need to Reset the security to Previous Month and then re-enter the disposal.*

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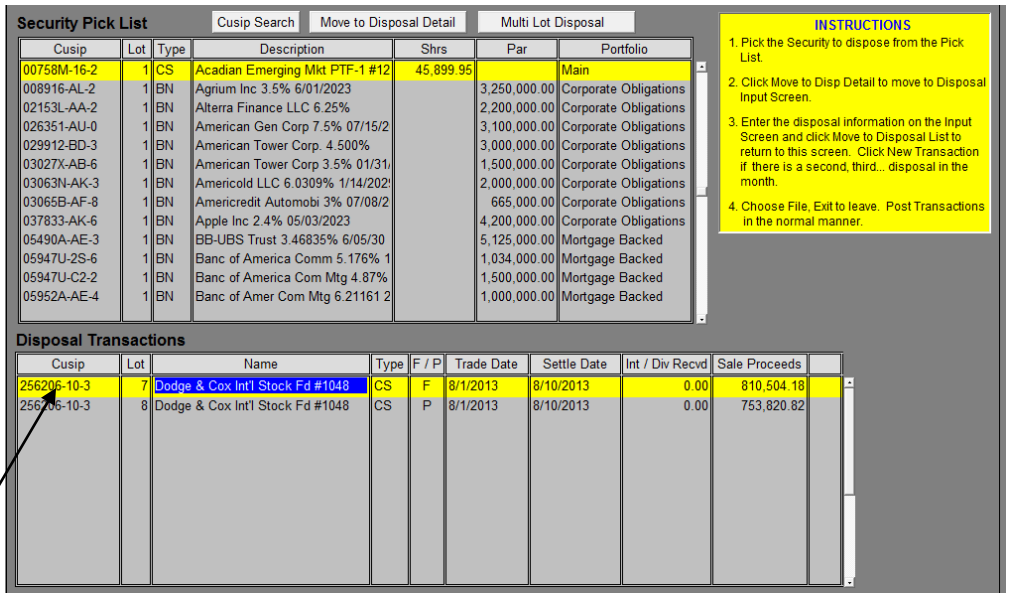
Deleting a Disposal


Security Pick List
Cusip Search
Move to Disposal Detail
Multi Lot Disposal
INSTRUCTIONS
1. Pick the Security to dispose from the Pick List.
2. Click Move to Disp Detail to move to Disposal Input Screen.
3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third... disposal in the month.
4. Choose File, Exit to leave. Post Transactions in the normal manner.
Cusip | Lot | Type | Description | Shrs | Par | Portfolio
00758M-16-2 | 1 | CS | Acadian Emerging Mkt PTF-1 #12 | 45,899.95 | | Main
008916-AL-2 | 1 | BN | Agrium Inc 3.5% 6/01/2023 | | 3,250,000.00 | Corporate Obligations
02153L-AA-2 | 1 | BN | Alterra Finance LLC 6.25% | | 2,200,000.00 | Corporate Obligations
026351-AU-0 | 1 | BN | American Gen Corp 7.5% 07/15/2 | | 3,100,000.00 | Corporate Obligations
029912-BD-3 | 1 | BN | American Tower Corp. 4.500% | | 3,000,000.00 | Corporate Obligations
03027X-AB-6 | 1 | BN | American Tower Corp 3.5% 01/31/ | | 1,500,000.00 | Corporate Obligations
03063N-AK-3 | 1 | BN | Americold LLC 6.0309% 1/14/202 | | 2,000,000.00 | Corporate Obligations
03065B-AF-8 | 1 | BN | Americredit Automobi 3% 07/08/2 | | 665,000.00 | Corporate Obligations
037833-AK-6 | 1 | BN | Apple Inc 2.4% 05/03/2023 | | 4,200,000.00 | Corporate Obligations
05490A-AE-3 | 1 | BN | BB-UBS Trust 3.46835% 6/05/30 | | 5,125,000.00 | Mortgage Backed
05947U-2S-6 | 1 | BN | Banc of America Comm 5.176% 1 | | 1,034,000.00 | Mortgage Backed
05947U-C2-2 | 1 | BN | Banc of America Com Mtg 4.87% | | 1,500,000.00 | Mortgage Backed
05952A-AE-4 | 1 | BN | Banc of Amer Com Mtg 6.21161 2 | | 1,000,000.00 | Mortgage Backed
Disposal Transactions
Cusip | Lot | Name | Type | F / P | Trade Date | Settle Date | Int / Div Recvd | Sale Proceeds
256206-10-3 | 7 | Dodge & Cox Int'l Stock Fd #1048 | CS | F | 8/1/2013 | 8/10/2013 | 0.00 | 810,504.18
256206-10-3 | 8 | Dodge & Cox Int'l Stock Fd #1048 | CS | P | 8/1/2013 | 8/10/2013 | 0.00 | 753,820.82

- Use the mouse to click and select the Disposal Transaction that you want to Delete.
- On the keyboard press Ctrl+Delete, The records associated with this disposal will be deleted.
  Notes:
  - *If the record is part of a multi-lot disposal, all lots related to that disposal will be deleted.*
  - *If the disposal has already been posted, you will need to Reset the security to the Previous Month.*

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Posting Transactions

For input checking you will want to print the **Pre-Post Transactions** report. The **Pre-Post Transactions** report is a one sided (single entry) accounting report that lists each security with the associated **PortMan** transaction Code.

If all transactions are correct you will run a backup and post the transactions. A backup is run to ensure that you can recover if an entry is incorrect, or the power goes out while you're posting the transactions. Choose ***Transactions***, ***Post Transactions*** to post. A posting is required because there are internal events (such as quarterly information) that must be recorded in the system.

The listing of **PortMan** transaction codes, as well as their description and normal entry follows:

Code	Explanation
1	Code 1 signifies a purchase of a security. The figure you enter updates the Book Value and Actual Cost fields. Code 1 is a Debit entry.
2	Code 2 signifies a full disposal of a security. The figure entered updates the Disposed Book value field, and flags are set that alert the system that more processing must take place (such as Consideration). Code 2 is a Credit entry.
3	Code 3 signifies a partial disposal of a security. The figure entered updates the Disposal Book Value and Book Value fields, and flags are set for further processing. Code 3 is a Credit entry.
4	Code 4 signifies a Book Value increase or decrease. A Debit entry increases the Book Value and Book Value Increase fields. A credit entry decreases the Book Value and increases the Book Value decrease field. Code 4 can be a Debit or Credit entry.
5	Code 5 signifies interest or dividends received for a security. Code 5 is a Credit entry.
6	Code 6 signifies Accrued Interest Paid. The entered value updates the Accrued Interest Paid field. Code 6 is a Debit entry.
7	Code 7 signifies a Disposal Profit. The entered value updates the Disposal Profit field, and flags are set to signify further processing. Code 7 is a Credit Entry.
8	Code 8 signifies a Disposal Loss. The entered value updates the Disposal Loss field, and flags are set to signify further processing. Code 8 is a Debit Entry.
9	Same as # 4 above, but amount is attributed to a disposal. Disposal Book Value Increase or Decrease fields are updated.

The preceding information is also on the back page of this manual for easy reference when entering transactions.

Schedule D Overrides and Exceptions

As a general rule data entry in PortMan is designed to minimal and as required. By that we mean we want the user to be able to enter only a minimum amount of data to get the required reports from the system. To achieve this goal we employ a number of Global defaults which are used in place of data that has not been entered. Most global defaults can be set at the Utility Screen or The System Preferences

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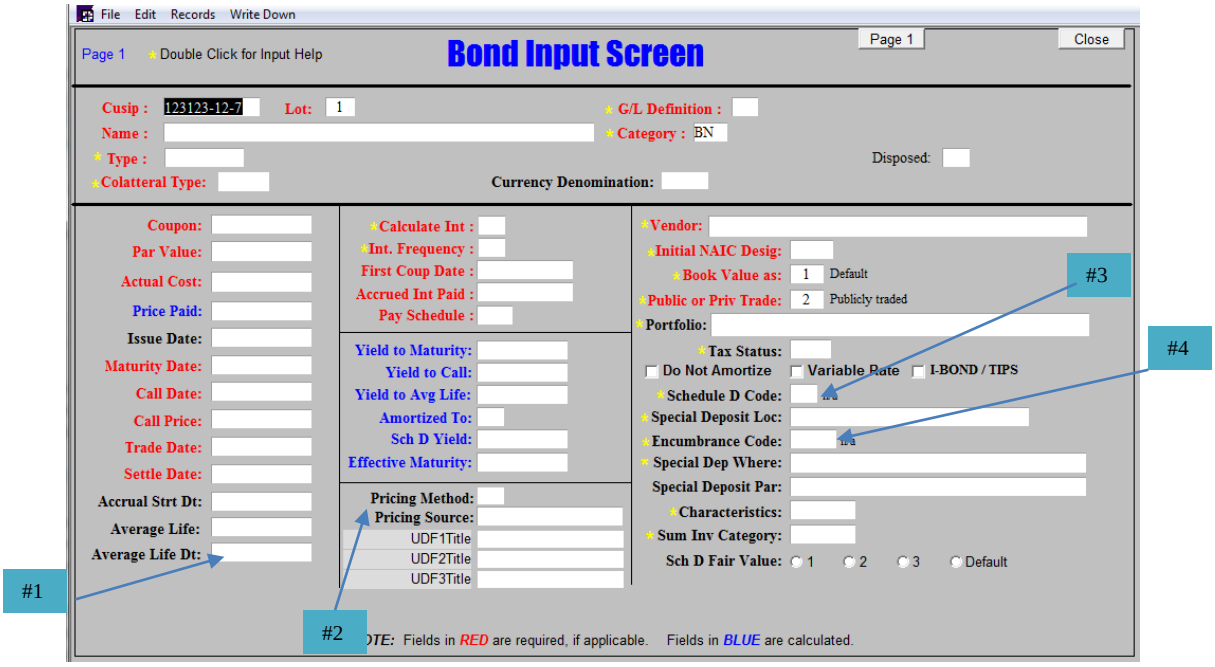
Screen For instance, you can tell PortMan "Where" you get your Market pricing from on the utility screen. All of your securities will use that default to report where the pricing came from. This method reduces hundreds of data entry elements for the user.

Even still there are times that the user must take special care when reporting specific investments. In these cases the user can override the defaults at the Tax Lot level. Using the BOND Screen below, we will discuss the overrides and how you can use them.



Bond Average Life Date / Effective Maturity

Portman will automatically calculate Yield to Worst based on the Maturity Date and Call date entered. In so doing it will use the applicable date as the "Effective Maturity". The user can also enter an Average Life Date, #1, This will cause PortMan to recalculate the Yields, Including a Yield to Average Life Date.

Pricing Method and Pricing Source

Pricing method and Pricing source can be set at the lot level by entering data here #2.

Schedule D Code

Use this field to select special characteristics about the investment. #3.
Schedule D Codes are

#	Exchange Traded Funds
$	Certificate of Deposit under FDIC Limit
&	TBA securities
*	Class One Bond Mutual Funds
@	Principal STRIP or other zero coupon bonds

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Schedule D - Encumbrance Code

Use this field for investments that are on deposit and the default encumbrance code “SD” is not correct. #4.

Schedule D EncumbranceCodes are:

C	pledged as collateral
DB	placed under an option agreement
DBP	placed under an option agreement involving "asset transfers with put option
DR	subject to dollar repurchase agreement
DRR	subject to dollar reverse repurchase agreement
LS	loaned or leased to others
M	not under the exclusive control of the reporting entity for multiple reason
O	Other
R	letter stock or otherwise restricted as to sale
RA	subject to repurchase agreement
RR	subject to reverse repurchase agreement
SD	placed on deposit with state or other regulatory body

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Accrual Program

PortMan makes managing interest due and accrued an easy affair. There are only two steps to perform. The first is a backup. The second is to choose ***Accrual***, ***Process Accrual*** from the Main Menu. A message will be displayed that warns that this program can only be run once a month, and asks if you want to continue. Click the **Yes** button to continue. Enter the last date of the month in the next Dialog box as MM/DD/YY. In a few moments you will have control of the mouse returned to you. You can then print the **GL Summary** or **GL Detail** reports from the *Accrual* menu.

Amortization Program

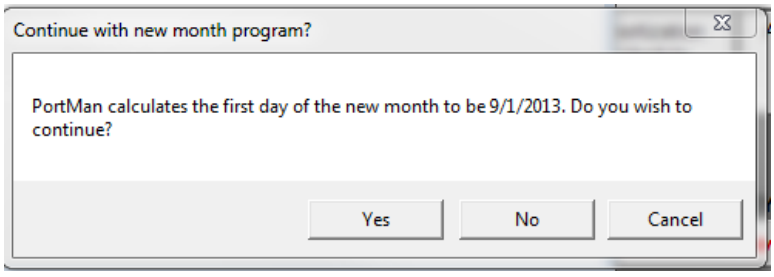
Again, **PortMan** makes accounting for Amortization's a snap. To begin, do a backup! Next click on ***Amortization***, ***Full Amortization*** from the Main Menu. A dialog box will ask for the date that you are amortizing. Enter the Amortization date as MM/DD/YY. The program will run for a few moments and then control will be returned to your mouse. This routine has created a book value increase or decrease transaction for each of your appropriate BN, ST, CMO, and MBS securities. You will now post the transactions per the ***Posting Transactions*** procedures mentioned previously.

Month End Program

The last task in monthly operations is to run the end of month program. This program performs several functions all designed to give you a better handle on money that is due you.

To run the Month-End program choose ***Programs, Month-End*** from the Main Menu. The program begins by displaying the following message "This program can only be run once a month" and asks for verification that you really want to run it.

After verifying you want to continue, the program then calculates the first day of the new month and displays the following message:


Continue with new month program?
PortMan calculates the first day of the new month to be 9/1/2013. Do you wish to continue?
Yes
No
Cancel

The first action taken by the program is to print out a report that lists every security that paid interest or dividends in the month ending. It lists the security's Cusip, the security's name, annual interest due, payable mode (monthly, quarterly...), date due, date paid, amount paid, paid to date, and lists if the bond is partially or fully disposed.

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The second function of this program is to calculate and find all bonds that are due to receive an interest payment in the month that is about to begin. After finding the records that are due a payment, it calculates the amount of the payment to be received. A report is then printed that lists the bonds to receive payment, the amount due, the due date, if it is overdue, and a space that can be used to fill in interest payments as they come in, if you choose to.

Two additional reports may produce data.

The BOOK Value Adjustments report will tell you if an investments book value was adjusted based on NAIC Designation, Market Price and Amortized Price

The Expired date report will warn if you have investments that have important dates that are about to expire. These arte date such as maturity dates, Expected Maturity Date, and Call/Option Date.

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Printing Reports

The system is now ready to print the reports that you will want for end of month figures. The reports you print will be up to you, but you will want to print at least the Schedule D by GL Type and the Active and Disposed reports. The Schedule D by GL Type report lists all information on the Schedule D pages sub totaled by GL definition. The Active reports contain most all of the information of Schedule D Parts 1 & 2. Disposed has Part 4 information, and Part 3 has Acquired information.

The report menu is reached by choosing ***File***, ***Print*** from the Main Menu. Check each report that you want to print, and then click on the **PRINT SELECTED REPORTS** button to begin printing. Right clicking on any report choice will give a description of the report that will be printed.

Quarterly Reporting

PortMan provides you with all necessary quarterly reporting tools. Begin by choosing *Quarterly* from the Main Menu. Each choice on the Quarterly menu is pretty self explanatory. After making any choice on the quarterly menu a dialog box will be displayed that will prompt you to pick the quarter to work with. To export a file to the quarterly statement software you pick **Export Q Sch D**. To print a report, choose ***Acquired Report***, ***Disposed Report***, ***Part 1B*** or ***Verification***.

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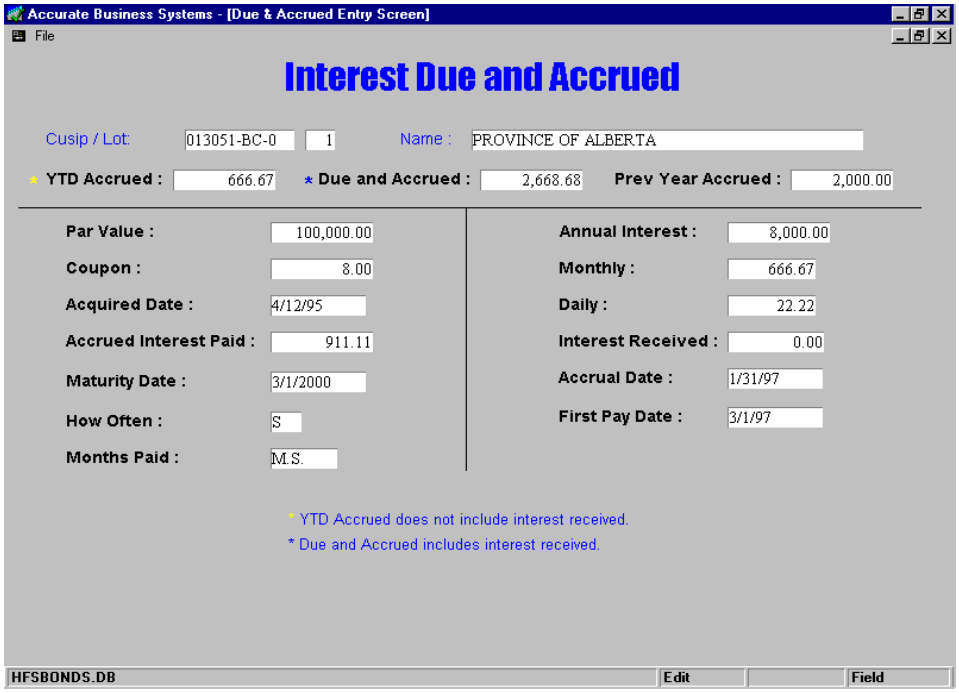
Editing and Viewing Securities

To edit or view information about a security you will choose ***Change***, ***Edit a Security*** from the Main Menu. A pick list will be displayed that lists all securities by Cusip.
Highlight the desired Cusip and click the Edit button to move to the security's detail screen. You will view the screens that are described in the Acquisition section.

Editing and Viewing Due and Accrued

To view the Interest / Div Accrued information for a security choose ***Change***, ***Edit Accrual*** from the Main Menu. Again you will be brought to a pick list of securities sorted by Cusip. Choose the desired security and click the **Edit** button. You will now be looking at the Due and Accrued Edit Screen pictured below.



This screen displays relevant information to determine/change the interest or dividend accrued. All of the displayed fields are self explanatory except the YTD accrued. This field holds the accumulated interest due for the current year without consideration for previous year accrued or current year received. This field is important for **PortMan** to keep track of securities with partial disposals of principal.

If you want to change a value of accrued interest or add a dividend that has been declared, but not paid, you make your entry in the Due and Accrued field. If this change is not at the end of the year you will have to make a corresponding change to the YTD Accrued field. For example, if you added $6 to the Due and Accrued field, you will have to add $6 to the YTD Accrued field. This is because **PortMan** calculates accrued interest by adding YTD accrued to Prev Year Accrued and subtracting YTD interest received. So making a change in the Due and Accrued without making the corresponding change to YTD accrued will cause you to be off the next time the Accrual procedure is run. Call Accurate Business Systems at (502) 226- 2077 if this is a little confusing.

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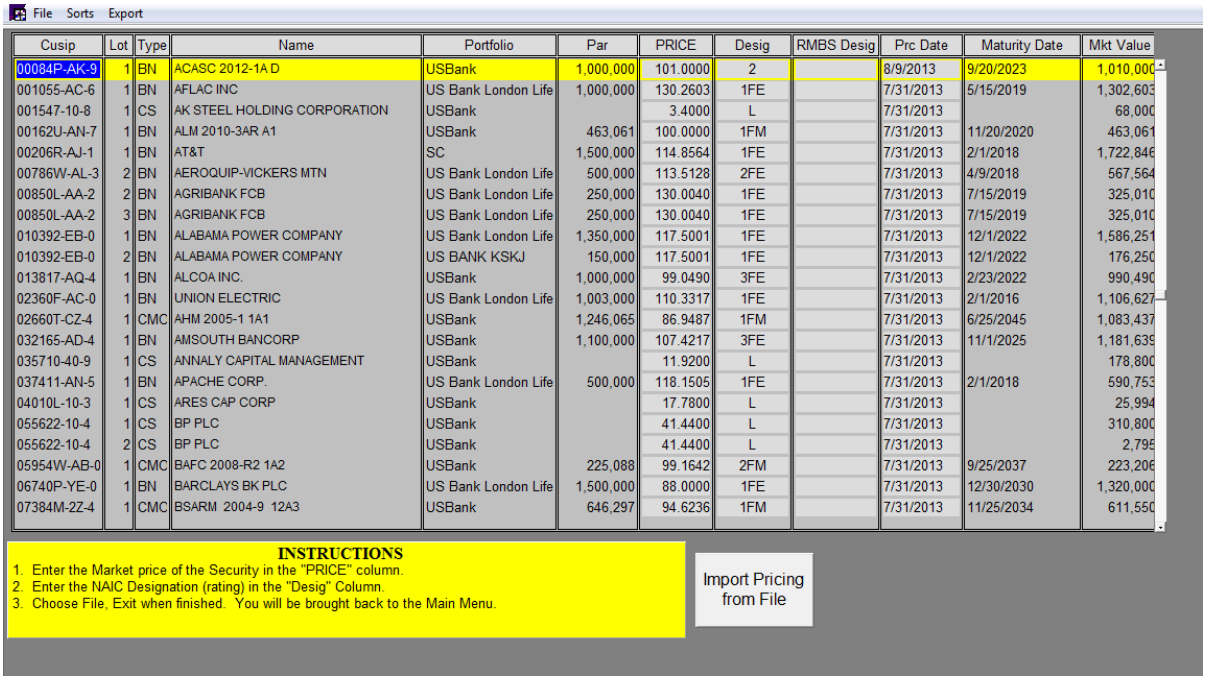
Posting Market Information

The Market routine in **PortMan** manages all aspects of your market reporting requirements in a very simple procedure. When you choose ***Market*** from the Main Menu you will be brought to a pick list which is pictured below.



The *Market* routine begins by asking you to enter the pricing date for this pricing. Enter the price date as MM/DD/YY. The pick list will display all securities that are not fully disposed in Cusip order. The list has entry space for Price (Market Price), Desig(NAIC Designation) and RMBS Desig(SSAP 43R designation). The procedure automatically fills Market Value, Price Date and the Post column.

After filling all the information that you desire for this session you will choose ***File***, ***Exit*** to return to the Main Menu. When you do this **Market Yield** and **Modified Duration** will be calculated for each appropriate security that had a Y in the Post column.

Note: If a market rate is not entered for a security (left blank) the Market Value will be made equal to the Book Value. This will happen if you leave the PRICE field blank and put an entry into the NAIC designation field.

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System Imports
Custodial Statement Import
Purpose
The custodial statement import module has been added to increase data entry efficiency, reduce data processing time and eliminate data entry mistakes.

The process extracts supported transaction types from an electronic file that you will download from your custodial website. Extracted transactions are then inserted into the respective forms for you, at which point you have the ability to review the transactions and post them as if you had entered the transactions manually. For each file imported there is a corresponding report which indicates the results of the import and processing actions. The report can be printed in a detail fashion that will display the import result of each line in the target file. *

* If the import file contains records for multiple accounts, the status report will only track the account that you are attempting to load.

Requirements
In order to use the custodial statement import you will need to:

1. Install the PortMan statement module. (contact support 502-209-6034)
2. Assign an account numbers and types to your PortMan portfolio names
3. Associate your securities with the proper Portfolio name.
4. Import transaction via Main Menu; Transactions; Statement Import

Supported Files and Transaction Types
New file will be added as resources permit

PortMan Version	Bank and File Type	Transaction Types Supported	Multiple-Accounts Per File	File Format
2012.11	USBank Comprehensive Transactions	Income Paydown Disposal	Yes	Tab Delimited
2013.xx	Wells Fargo	Income Paydown Disposal	Yes	Tab Delimited
2013.xx	BNY Mellon	Income Paydown Disposal	Yes	Tab Delimited

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Setup - Assigning an Account number to a Portfolio

Open the Portfolio List and edit each account as needed.

From the Main Menu;

Click **Utilities**

Click **Edit Portfolio List**

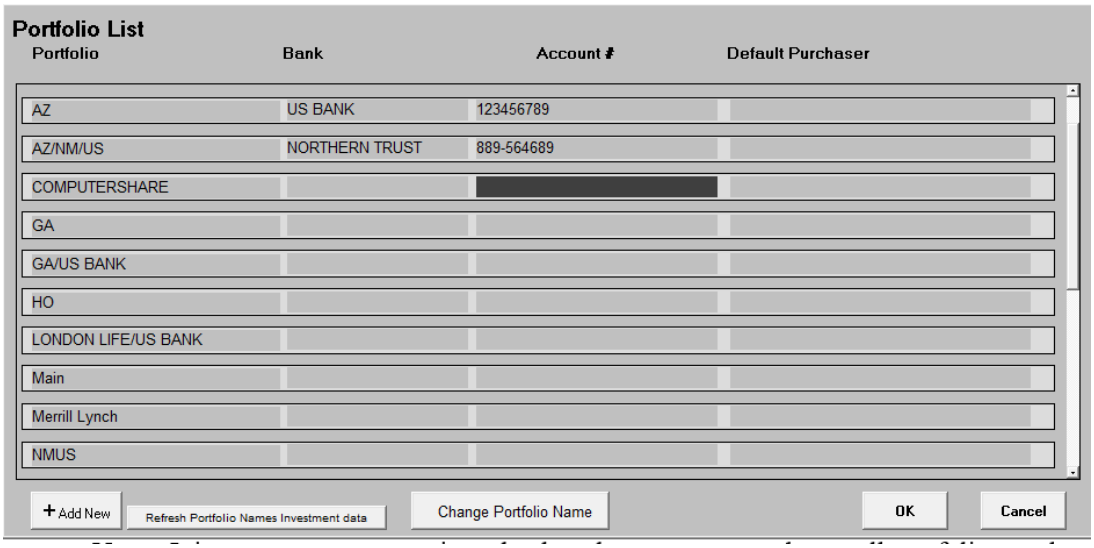
the following dialog will appear;

Scroll to the Portfolio that you wish to assign an account number to and enter:

BANK - Select the **Bank** Type in the drop down.

Account # - Enter the in the Account # field. This should be the account number as it is represented in the data file that will be downloaded.

Default Purchaser - Use this field to designate who you typically sell securities to (if any). This data will be used in the purchaser field for disposal transactions that do not have purchaser information.



Note: It is not necessary to assign a bank and an account number to all portfolios, only to those that you intend on importing.

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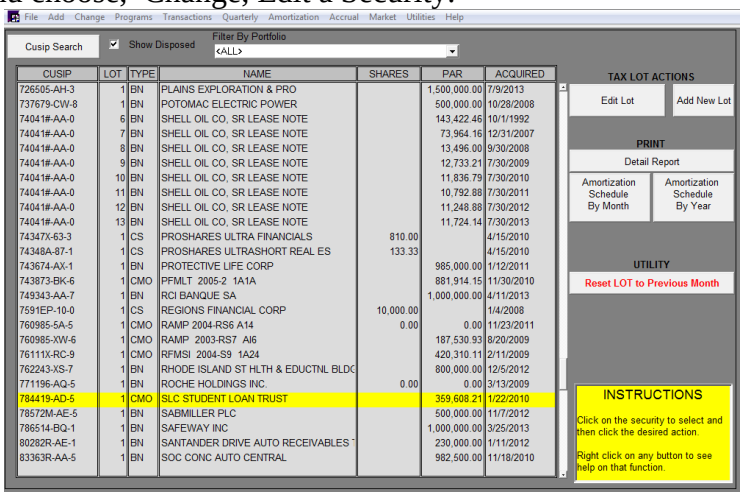
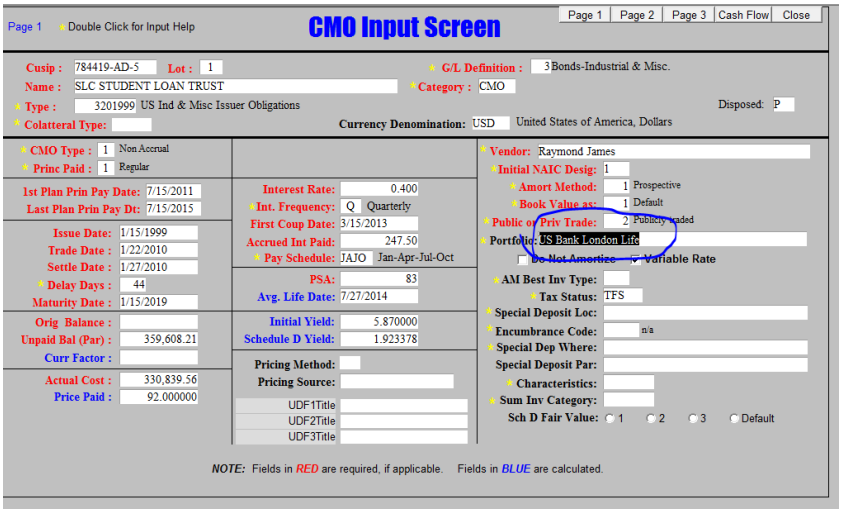
Setup - Associating a security to the correct portfolio

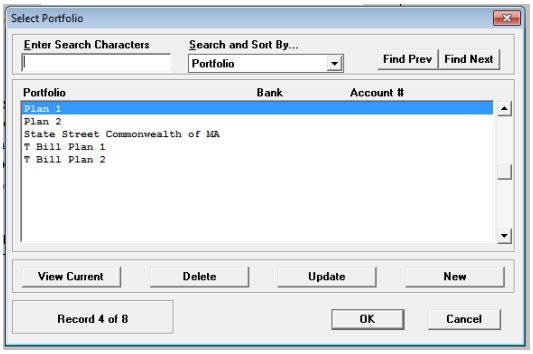
From the Main Menu choose, Change, Edit a Security.


File Add Change Programs Transactions Quarterly Amortization Accrual Market Utilities Help
Cusip Search
Show Disposed
Filter By Portfolio
<ALL>
CUSIP LOT TYPE NAME SHARES PAR ACQUIRED
726505-AH-3 1 BN PLAINS EXPLORATION & PRO 1,500,000.00 7/9/2013
737679-CW-8 1 BN POTOMAC ELECTRIC POWER 500,000.00 10/28/2008
74041#-AA-0 6 BN SHELL OIL CO, SR LEASE NOTE 143,422.46 10/1/1992
74041#-AA-0 7 BN SHELL OIL CO, SR LEASE NOTE 73,964.16 12/31/2007
74041#-AA-0 8 BN SHELL OIL CO, SR LEASE NOTE 13,496.00 9/30/2008
74041#-AA-0 9 BN SHELL OIL CO, SR LEASE NOTE 12,733.21 7/30/2009
74041#-AA-0 10 BN SHELL OIL CO, SR LEASE NOTE 11,836.79 7/30/2010
74041#-AA-0 11 BN SHELL OIL CO, SR LEASE NOTE 10,792.88 7/30/2011
74041#-AA-0 12 BN SHELL OIL CO, SR LEASE NOTE 11,248.88 7/30/2012
74041#-AA-0 13 BN SHELL OIL CO, SR LEASE NOTE 11,724.14 7/30/2013
74347X-63-3 1 CS PROSHARES ULTRA FINANCIALS 810.00 4/15/2010
74348A-87-1 1 CS PROSHARES ULTRASHORT REAL ES 133.33 4/15/2010
743674-AX-1 1 BN PROTECTIVE LIFE CORP 985,000.00 1/12/2011
743873-BK-6 1 CMO PFMLT 2005-2 1A1A 881,914.15 11/30/2010
749343-AA-7 1 BN RCI BANQUE SA 1,000,000.00 4/11/2013
7591EP-10-0 1 CS REGIONS FINANCIAL CORP 10,000.00 1/4/2008
760985-5A-5 1 CMO RAMP 2004-RS6 A14 0.00 0.00 11/23/2011
760985-XW-6 1 CMO RAMP 2003-RS7 AI6 187,530.93 8/20/2009
76111X-RC-9 1 CMO RFMSI 2004-S9 1A24 420,310.11 2/11/2009
762243-XS-7 1 BN RHODE ISLAND ST HLTH & EDUCTNL BLDG 800,000.00 12/5/2012
771196-AQ-5 1 BN ROCHE HOLDINGS INC 0.00 0.00 3/13/2009
784419-AD-5 1 CMO SLC STUDENT LOAN TRUST 359,608.21 1/22/2010
78572M-AE-5 1 BN SABMILLER PLC 500,000.00 11/7/2012
786514-BQ-1 1 BN SAFEWAY INC 1,000,000.00 3/25/2013
80282R-AE-1 1 BN SANTANDER DRIVE AUTO RECEIVABLES 230,000.00 1/11/2012
83363R-AA-5 1 BN SOC CONC AUTO CENTRAL 982,500.00 11/18/2010
TAX LOT ACTIONS
Edit Lot
Add New Lot
PRINT
Detail Report
Amortization Schedule By Month
Amortization Schedule By Year
UTILITY
Reset LOT to Previous Month
INSTRUCTIONS
Click on the security to select and then click the desired action.
Right click on any button to see help on that function.

Find the security that you wish to edit, and double-click the security


Page 1
Double Click for Input Help
CMO Input Screen
Page 1 Page 2 Page 3 Cash Flow Close
Cusip : 784419-AD-5 Lot : 1
G/L Definition : 3 Bonds-Industrial & Misc.
Name : SLC STUDENT LOAN TRUST
Category : CMO
Type : 3201999 US Ind & Misc Issuer Obligations
Disposed: P
Colatteral Type:
Currency Denomination: USD United States of America, Dollars
CMO Type : 1 Non Accrual
Princ Paid : 1 Regular
1st Plan Prin Pay Date: 7/15/2011
Last Plan Prin Pay Dt: 7/15/2015
Issue Date: 1/15/1999
Trade Date : 1/22/2010
Settle Date : 1/27/2010
Delay Days : 44
Maturity Date : 1/15/2019
Orig Balance :
Unpaid Bal (Par) : 359,608.21
Curr Factor :
Actual Cost : 330,839.56
Price Paid : 92.000000
Interest Rate: 0.400
Int. Frequency: Q Quarterly
First Coup Date: 3/15/2013
Accrued Int Paid: 247.50
Pay Schedule: JAJO Jan-Apr-Jul-Oct
PSA: 83
Avg. Life Date: 7/27/2014
Initial Yield: 5.870000
Schedule D Yield: 1.923378
Pricing Method:
Pricing Source:
UDF1Title
UDF2Title
UDF3Title
Vendor: Raymond James
Initial NAIC Desig: 1
Amort Method: 1 Prospective
Book Value as: 1 Default
Public or Priv Trade: 2 Publicly traded
Portfolio: US Bank London Life
Do Not Amortize
Variable Rate
AM Best Inv Type:
Tax Status: TFS
Special Deposit Loc:
Encumbrance Code: n/a
Special Dep Where:
Special Deposit Par:
Characteristics:
Sum Inv Category:
Sch D Fair Value: 1 2 3 Default
NOTE: Fields in RED are required, if applicable. Fields in BLUE are calculated.

Double click the Portfolio field,



Select the portfolio name you wish to assign and click OK
Close the Security Screen
Repeat steps for each security in the Portfolio.

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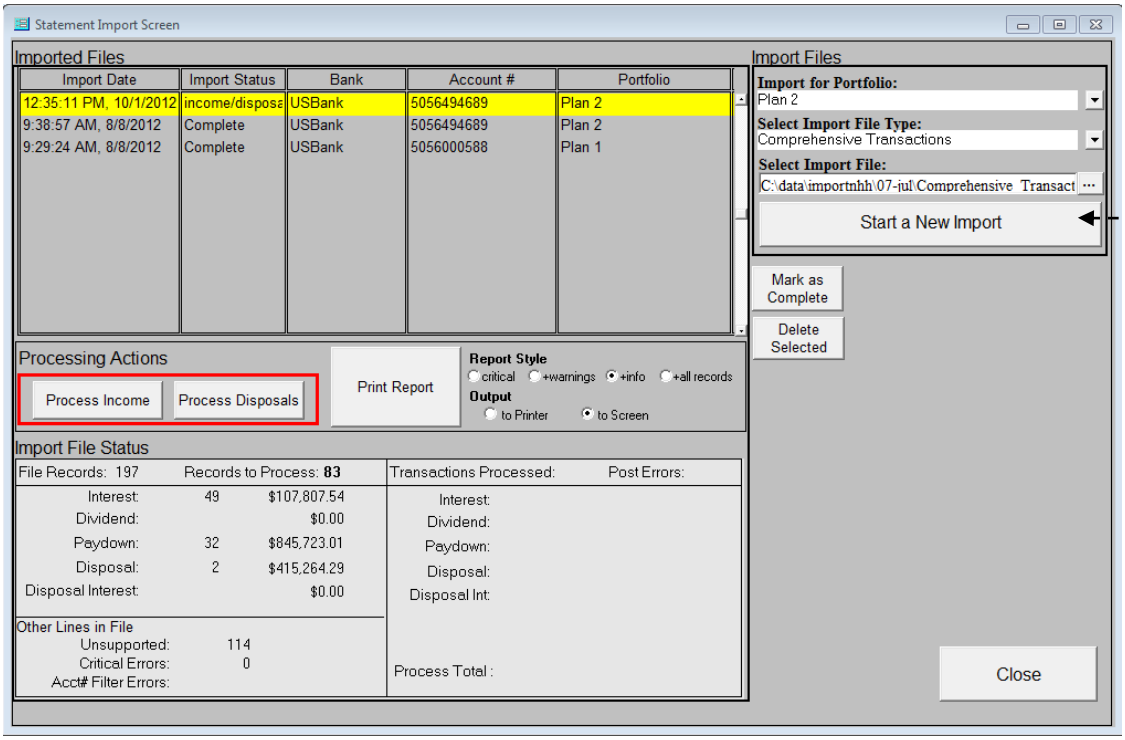
Importing the Custodial Statement

From the Main Menu choose, Transactions, Import Statement. You will see the following dialog:
Note: If you do not see the "Import Statement" option, then the statement module is not installed and/or turned on. Call ABS Support if you need assistance.



The process of importing data is completed in a series of steps. They are:

1. Import the File
2. Process Income (if any)
3. Process Disposals (if any)

To facilitate these steps the custodial import screen is divided into two distinct sections: "Import Files" and "Imported Files".

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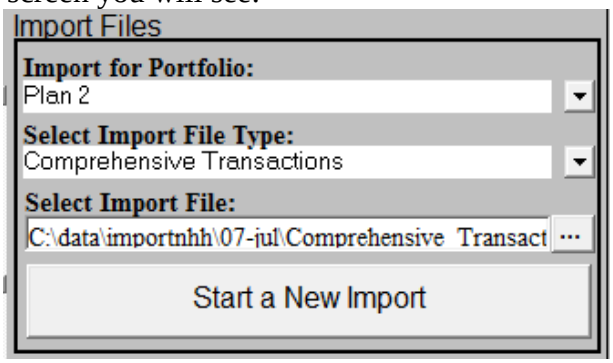
Import Files

On the right hand side of the screen you will see:



To begin the import process you need to have previously completed the requirements section of this topic. The following are some import facts:

- Each import will apply to a single Portfolio.
- If you have multiple Portfolios that share the same bank account number, Each portfolio will need to import the file.
- If your import file contains data for multiple accounts, each record in the data must be assigned the appropriate account number.
- Records in the data file that are associated to an account number that is different than the Portfolio's account number will be discarded and will increment the Acct # Filter error. This is not a problem, it is simply data that we don't need to look at for the import at hand.
- Records in the data file that do not fit into the current Accounting period will be ignored and may cause the import to fail or show as complete without taking a processing action.

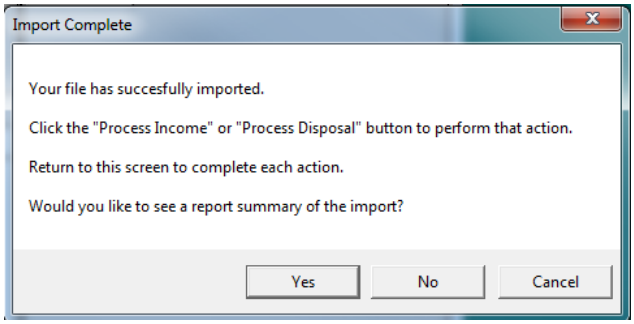
To get started enter:

Import for Portfolio - Select your PortMan portfolio from the drop down.

Select Import File Type - Some banks will have multiple types of files that can be imported, select the type you are importing.

Select Import File - Enter the full path to the file you with to import. Most import transactions require the import file to be in a Tab-Delimited text format. You can use the browse button to browse to the correct file if necessary.

Click the **Start New Import** button. Your file will be loaded and made ready for processing. next you should see:


Import Complete
Your file has succesfully imported.
Click the "Process Income" or "Process Disposal" button to perform that action.
Return to this screen to complete each action.
Would you like to see a report summary of the import?
Yes
No
Cancel

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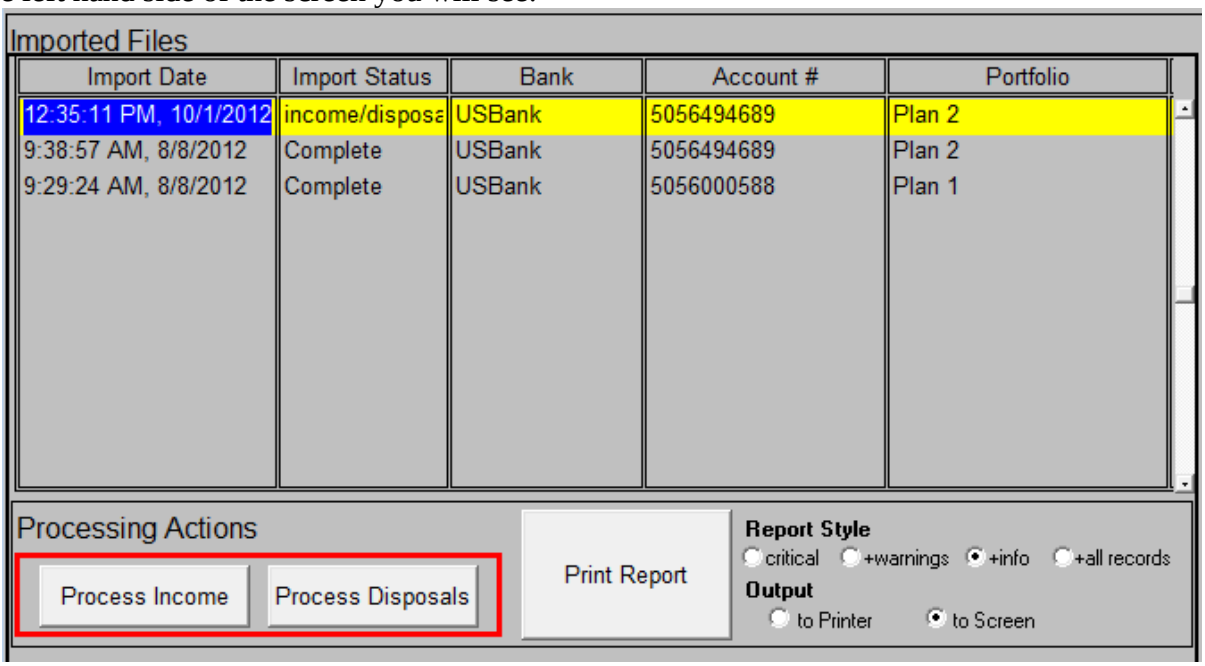
Click Yes if you want to see a status report of the load, otherwise No. You can always print the status report later.

Once your file is loaded you will see a new record in the **Imported Files** list

Imported Files - File List

On the left hand side of the screen you will see:



The **Imported Files** list displays each of the files that you have imported (most recent to oldest). The list displays five data elements related to the import:

Import Date - The Date you imported that file.

Import Status - The current status of the file which could be one of the following:

init or *loading* - indicates a file is in the process of loading, this status is temporary and should never be in the list for more than a few seconds.

income - indicates income transactions in this file have not been processed.

disposal - indicates disposal transactions in this file have not been processed.

completed - indicates all transactions in this file have been processed OR that there is nothing to do in this data file

Bank - The bank assigned to the imported file

Account # - The Bank account number associated with this portfolio at the time of the import.

Portfolio - The portfolio name that was imported.

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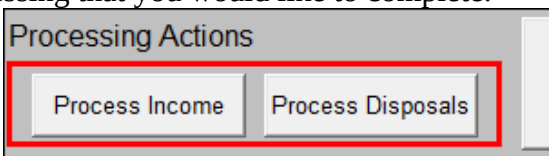
Imported Files - Processing Actions

To complete the processing of a file you will need to select the appropriate file in the list and click the button that represents the processing that you would like to complete.



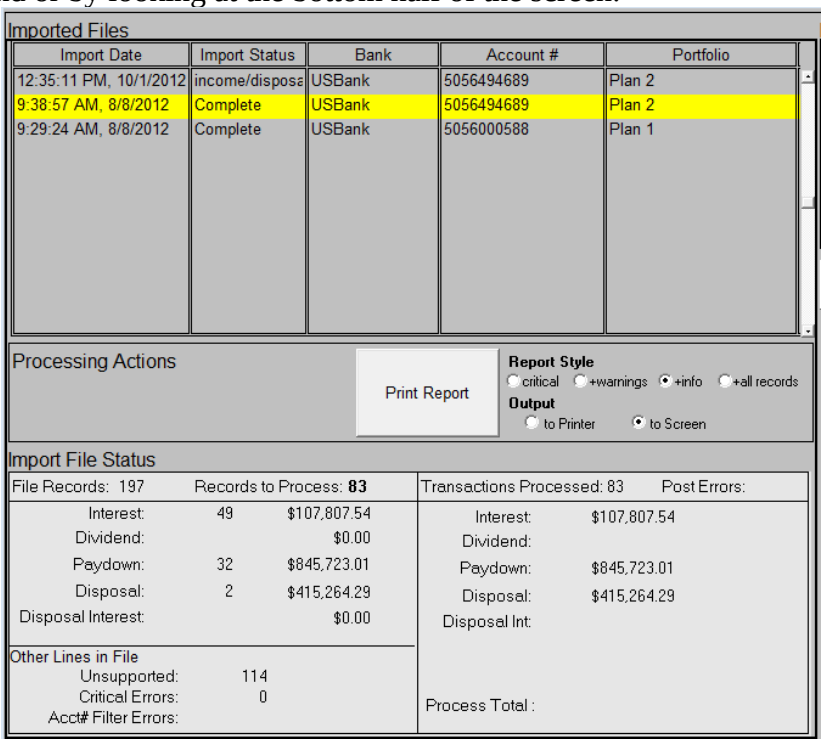
The "Process Income" and "Process Disposal" buttons will dynamically display based on the transactions that can be completed on the selected file.

Process Income - Clicking this button will process each Income, Dividend, and Principal pay down transaction imported. Once the data has been inserted, the Income screen will display allowing you to see/verify the transactions. Close the income screen and run the Pre-Post verification report before posting the data.

Process Disposals - Clicking this button will process each Disposal and Disposal Interest(if any), transaction imported. Once the data has been inserted, the Disposal screen will display allowing you to see/verify the transactions. Close the income screen and run the Pre-Post verification report before posting the data.

Imported Files - Detailed Information

Additional information about each file imported can be obtained by selecting a line in the list and Printing the report and or by looking at the bottom half of the screen.



The Imported Files list should contain a new entry much like the one hi-lighted above.

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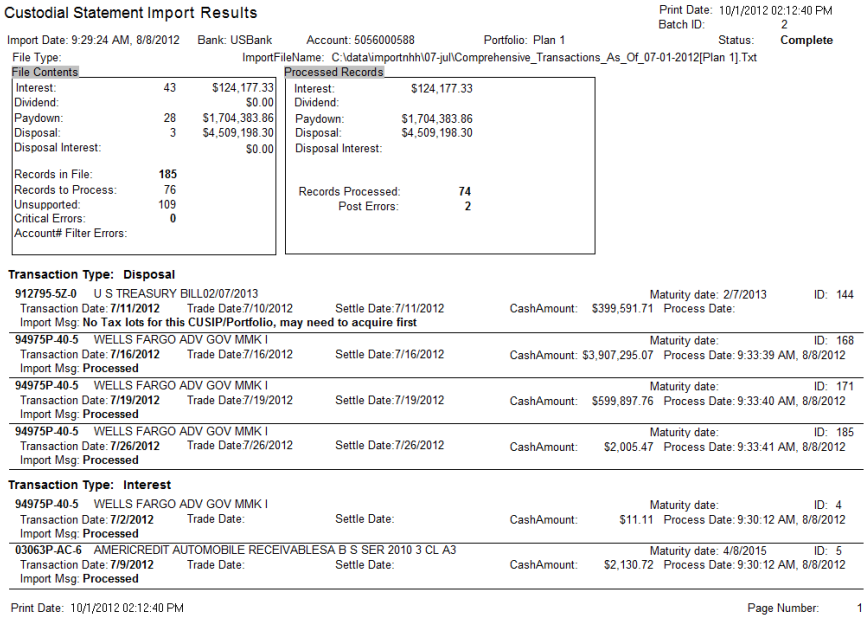
Imported Files - Printed Report

The printed report will display the import results. It contains a summary section at the top much like the screen. The report also contains status data for each line imported from the file.



Custodial Statement Import Results

Print Date: 10/1/2012 02:12:40 PM
Batch ID: 2

Import Date: 9:29:24 AM, 8/8/2012 Bank: USBank Account: 5056000588 Portfolio: Plan 1 Status: **Complete**

File Type: ImportFileName: C:\data\importnhh\07-jul\Comprehensive_Transactions_As_Of_07-01-2012[Plan 1].Txt

File Contents			Processed Records	
Interest:	43	$124,177.33	Interest:	$124,177.33
Dividend:		$0.00	Dividend:	
Paydown:	28	$1,704,383.86	Paydown:	$1,704,383.86
Disposal:	3	$4,509,198.30	Disposal:	$4,509,198.30
Disposal Interest:		$0.00	Disposal Interest:	
Records in File:	**185**			
Records to Process:	76		Records Processed:	**74**
Unsupported:	109		Post Errors:	**2**
Critical Errors:	**0**			
Account# Filter Errors:				

Transaction Type: Disposal

912795-5Z-0 U S TREASURY BILL02/07/2013 Maturity date: 2/7/2013 ID: 144
Transaction Date: **7/11/2012** Trade Date:7/10/2012 Settle Date:7/11/2012 CashAmount: $399,591.71 Process Date:
Import Msg: **No Tax lots for this CUSIP/Portfolio, may need to acquire first**

94975P-40-5 WELLS FARGO ADV GOV MMK I Maturity date: ID: 168
Transaction Date: **7/16/2012** Trade Date:7/16/2012 Settle Date:7/16/2012 CashAmount: $3,907,295.07 Process Date:9:33:39 AM, 8/8/2012
Import Msg: **Processed**

94975P-40-5 WELLS FARGO ADV GOV MMK I Maturity date: ID: 171
Transaction Date: **7/19/2012** Trade Date:7/19/2012 Settle Date:7/19/2012 CashAmount: $599,897.76 Process Date:9:33:40 AM, 8/8/2012
Import Msg: **Processed**

94975P-40-5 WELLS FARGO ADV GOV MMK I Maturity date: ID: 185
Transaction Date: **7/26/2012** Trade Date:7/26/2012 Settle Date:7/26/2012 CashAmount: $2,005.47 Process Date:9:33:41 AM, 8/8/2012
Import Msg: **Processed**

Transaction Type: Interest

94975P-40-5 WELLS FARGO ADV GOV MMK I Maturity date: ID: 4
Transaction Date: **7/2/2012** Trade Date: Settle Date: CashAmount: $11.11 Process Date:9:30:12 AM, 8/8/2012
Import Msg: **Processed**

03063P-AC-6 AMERICREDIT AUTOMOBILE RECEIVABLESA B S SER 2010 3 CL A3 Maturity date: 4/8/2015 ID: 5
Transaction Date: **7/9/2012** Trade Date: Settle Date: CashAmount: $2,130.72 Process Date:9:30:12 AM, 8/8/2012
Import Msg: **Processed**

Print Date: 10/1/2012 02:12:40 PM Page Number: 1

* Data in the import file that belongs to an Account# other than the one imported will be discarded. These records are identified in the total for "Account# Filter Errors:".

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Market Price Import

Purpose

The Market price import function has been added to facilitate the mass importing of prices from a spreadsheet in order to eliminate manual data entry. The process updates the MKT Price and NAIC Mkt Price with the pricing data supplied.

Requirements

In order to use the market price import function you will need a file that contains your pricing data and is formatted to meet one of the following definition types.

Tab delimited – Cusip & Price

This is a simple format that you can create yourself using instructions below. See "Creating a Tab delimited Market Price File"

Tab delimited – Cusip, Price and/orNAIC

This is a simple format that you can create yourself using instructions below. See "Creating a Tab delimited Market Price File"

Tab delimited – Prices with CRP ratings

This format is used to import the Market price and the Certified Rating Provider (Moody, S&P, Fitch…) ratings from a file. Typically this data would come from the holdings section of your custodial statement. This format does will derive an NAIC designation for your rated securities. See "Creating a Tab delimited W CRP Market Price File"

AVS Format

This format can be used if you subscribe to the NAIC AVS Service. The file that you receive from that service will use this setting.

EPS Format

This format is used by some Sungard EPS as well as some banks. This format does not allow import of the NAIC Designation.

"

Creating a Tab delimited Market Price File

A tab delimited text file will contains the following columns

CUSIP
PRICE (Optional)
NAIC DESIGNATION (Optional)

Market Price File Definition

Creating the text file is very simple using Microsoft Excel Version 97, 2003 or 2007 by following these steps:

1. Your excel spreadsheet will need to contain three columns;
   Column 1 CUSIP
   Column 2 PRICE
   Column 3 NAIC Designation (optional)

2. Labels on the columns are NOT needed.
3. The worksheet with your pricing and NAIC Designations should not contain any other data.

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4. The worksheet may contain prices for multiple portfolios or you can create multiple worksheets for your different portfolios.
5. It is acceptable if you have other worksheets in your Excel document that contain other data.

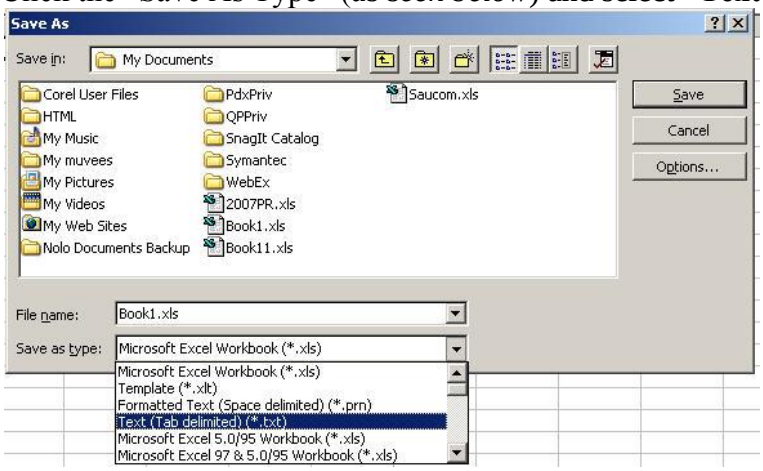
A sample spreadsheet would look similar to the following figure:

	A	B	C	D	E
1	00184A-AB-1	107.91	1FE		
2	00206R-10-2	26.44	1FE		
3	00206R-AF-9	100.05			
4	00206R-AJ-1	106.57	1FE		
5	00206R-AR-3		1FE		
6	00209T-AA-3	117.30	1FE		
7	002819-AA-8	109.83	2FE		

Saving the Market Price File

When you have your market price worksheet ready you can save it in required format by following these steps.

1. Select the worksheet that contains the Market Price Data
2. ***For EXCEL 97 or 2003***; from the menu choose
    a. File > Save As >
    b. Browse to the location that you wish to save the file in.
    c. Click the "Save As Type" (*as seen below*) and select **"Text (Tab delimited)(*.txt)"**



    d. Enter a name for the file in the **File name** field.
    e. Click Save.
    f. Click OK and/or YES in the following dialogs.

3. ***For EXCEL 2007***; from the menu choose

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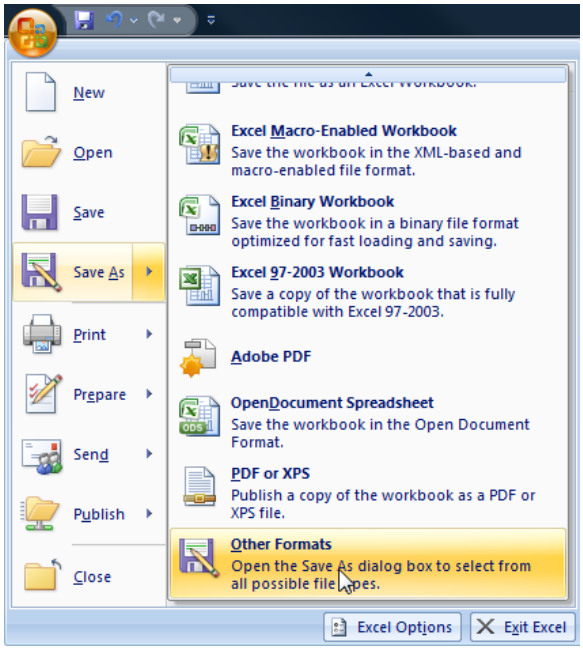
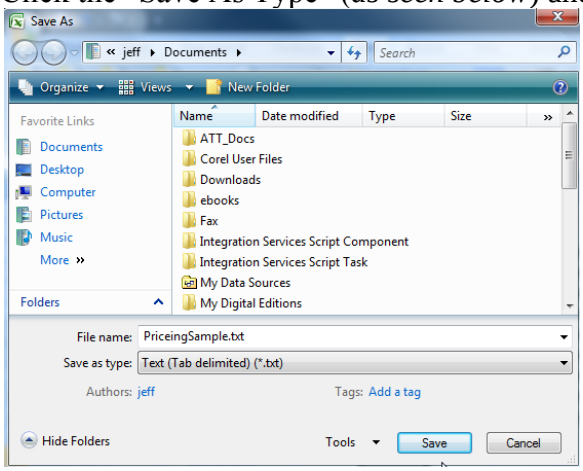
a. Click the OFFICE button File > Save As > Other Formats


New
Open
Save
Save As
Print
Prepare
Send
Publish
Close
Excel Macro-Enabled Workbook
Save the workbook in the XML-based and macro-enabled file format.
Excel Binary Workbook
Save the workbook in a binary file format optimized for fast loading and saving.
Excel 97-2003 Workbook
Save a copy of the workbook that is fully compatible with Excel 97-2003.
Adobe PDF
OpenDocument Spreadsheet
Save the workbook in the Open Document Format.
PDF or XPS
Publish a copy of the workbook as a PDF or XPS file.
Other Formats
Open the Save As dialog box to select from all possible file types.
Excel Options
Exit Excel

b. Browse to the location that you wish to save the file in.

c. Click the "Save As Type" (*as seen below*) and select **"Text (Tab delimited)(*.txt)"**



d. Enter a name for the file in the **File name** field.

e. Click Save.

f. Click OK and/or YES in the following dialogs.

Creating a Tab delimited W CRP Market Price File

A tab delimited text file will contains the following columns

CUSIP
PRICE (Optional)
CRP Rating information (Optional)

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CRP / Market Price File Definition

This file can be created using either of the following format options.

OPTION 1: WITH OUT a FIRST ROW HEADER

Creating the text file is very simple using Microsoft Excel Version 97, 2003 or 2007, 2013 by following these steps:

1. Your excel spreadsheet will need to contain three columns. Since there is no header you will need to put the data in the following order;
   Column 1 CUSIP
   Column 2 PRICE
   Column 3 CRP Rating
2. Labels on the columns are NOT needed.
3. The worksheet with your pricing and CRP Rating should not contain any other data.
4. The worksheet may contain prices for multiple portfolios or you can create multiple worksheets for your different portfolios.
5. Save the file using the instructions found on Page 69 – ***Saving the Market Price File***

	A	B	C
1	00184A-AB-1	100.0000	AA1
2	03063N-AK-3	104.5235	A1
3	03065E-AG-0	98.5600	B+
4	315911-80-0	53.4400	
5	31416W-H3-9	109.2000	CCC
6	31384W-GU-8	113.5220	AAA
7			

OPTION 2: WITH a FIRST ROW HEADER

Creating the text file is very simple using Microsoft Excel Version 97, 2003 or 2007, 2013 by following these steps:

1. Your excel spreadsheet can contain any data that you wish, but the CUSIP, PRICE, and CRP Agency columns must be labeled.
2. Identify the column that contains the cusip, by labeling the first row with "CUSIP"
3. Identify the column that contains the Market Price, by labeling the first row with "PRICE" or "MARKET PRICE"

Rating agencies are identified by the NAIC Code for each agency. Found in the purposes and Procedures manual or this PDF http://www.naic.org/documents/svo_naic_aro.pdf

4. Identify the column that contains the
   a. **MOODY** rating, by labeling the first row column with one of the following
      i. A
      ii. MOODYS
      iii. MOODY
   b. **STANDARDS** and POOR'S rating, by labeling the first row column with one of the following
      i. B
      ii. S&P
      iii. S & P

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c. **FITCH** rating, by labeling the first row column with one of the following
   i. C
   ii. FITCH
d. **DBRS** rating, by labeling the first row column with one of the following
   i. D
   ii. DBRS
e. **A.M. BEST** rating, by labeling the first row with one of the following
   i. E
   ii. AMBEST
   iii. BEST
   iv. A.M.BEST
f. **MORNINGSTAR CREDIT** rating, by labeling the first row column with one of the following
   i. F
   ii. MORNINGSTAR
g. **KROLL BOND** (KBRA) rating, by labeling the first row column with one of the following
   i. G
   ii. KROLL
   iii. KBRA
h. **EGAN JONES** (EJR) rating, by labeling the first row column with one of the following
   i. H
   ii. EGAN JONES
   iii. EJR
   iv. EGAN

5. Columns labeled in any other way will be ignored.
6. The worksheet may contain prices for multiple portfolios or you can create multiple worksheets for your different portfolios.
7. The worksheet may contain multiple CRP agency codes, provided they are properly labeled
8. It is acceptable if you have other worksheets in your Excel document that contain other data.
9. Save the file using the instructions found on Page 69 – ***Saving the Market Price File***

A sample spreadsheet would look similar to the following figure:

A	B	C	D	E	F	G	H	I	J	K	L	M
unt ID	CUSIP	Portfolio	Shares/Par	Book Value	Asset Long Name 1	Pricing Date	Price	A	As Of Date	B	Yield	Industry M
L5375800		1	0.0000	0.00	Principal Cash		0.000000		12/10/2013		0.000000000	
L5375800		2	0.0000	0.00	Income Cash		0.000000		12/10/2013		0.000000000	
L5375800	04621WAA8	1	100,000.0000	102,000.00	ASSURED GUARANTY (	12/09/2013	100.500000	BAA2	12/10/2013	A-	6.930693069	
L5375800	068715CY5	1	10,000.0000	11,009.50	BARRON WI AREA SCH	12/09/2013	106.945000	AA3	12/10/2013	N/R	4.633139584	
L5375800	12612WAB0	1	100,000.0000	108,008.00	CNF TRANSPORTATIO	12/09/2013	100.412000	BAA3	12/10/2013	BBB-	6.733465323	
L5375800	143295BV4	1	20,000.0000	22,029.40	CARMEL IN REDEV DIS	12/09/2013	109.916000	A2	12/10/2013	AA-	4.754184958	
L5375800	231021AJ5	1	100,000.0000	135,313.00	CUMMINS ENGINE INC	12/09/2013	128.097000	A3	12/10/2013	A	5.625829070	
L5375800	247025AE9	1	25,000.0000	25,812.50	DELL COMPUTER CORF	12/09/2013	85.500000	B1	12/10/2013	B+	8.255813953	
L5375800	295173LH9	1	65,000.0000	69,033.25	ERIE CNTY PA SER C	10/21/2013	111.900000	AA2	12/10/2013	AA-	4.691689008	
L5375800	313380N86	1	100,000.0000	99,000.00	FEDERAL HOME LOAN	12/09/2013	98.854000	AAA	12/10/2013	AA+	1.015651185	
L5375800	313381LH6	1	200,000.0000	182,400.00	FEDERAL HOME LOAN	12/09/2013	90.280000	AAA	12/10/2013	AA+	1.119281869	
L5375800	313382V83	1	100,000.0000	95,300.00	FEDERAL HOME LOAN	12/09/2013	95.463000	AAA	12/10/2013	AA+	1.055230779	
L5375800	3133836S5	1	100,000.0000	94,250.00	FEDERAL HOME LOAN	12/09/2013	94.358000	AAA	12/10/2013	AA+	1.603780646	
L5375800	3134G46N3	1	200,000.0000	200,000.00	F H L M C M T N	12/09/2013	91.817000	N/A	12/10/2013	AA+	3.523336600	

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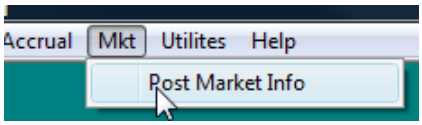
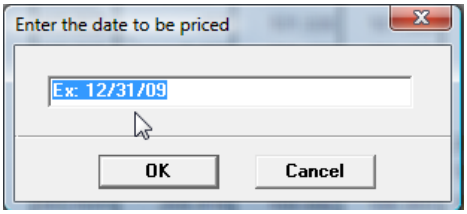
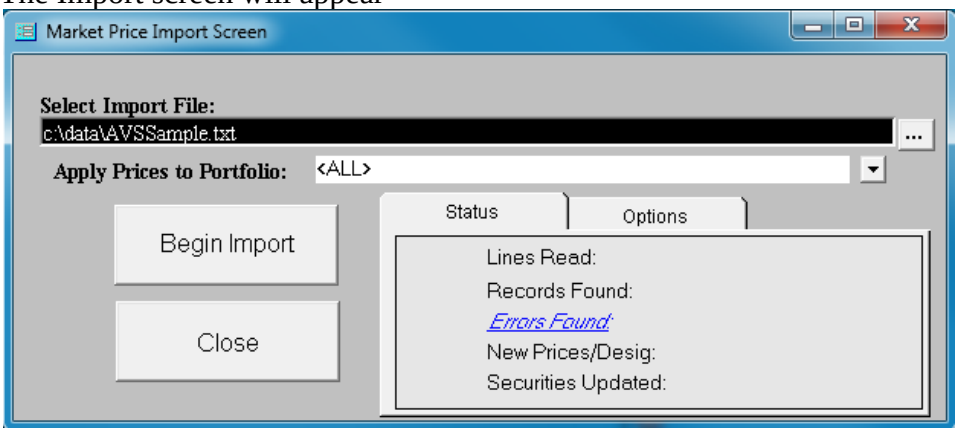
Importing the Market Price File

To import the market price file, Open Portman

1. click on the menu item Market > Post Market Info 

2. Enter the date to be priced and click **OK** 

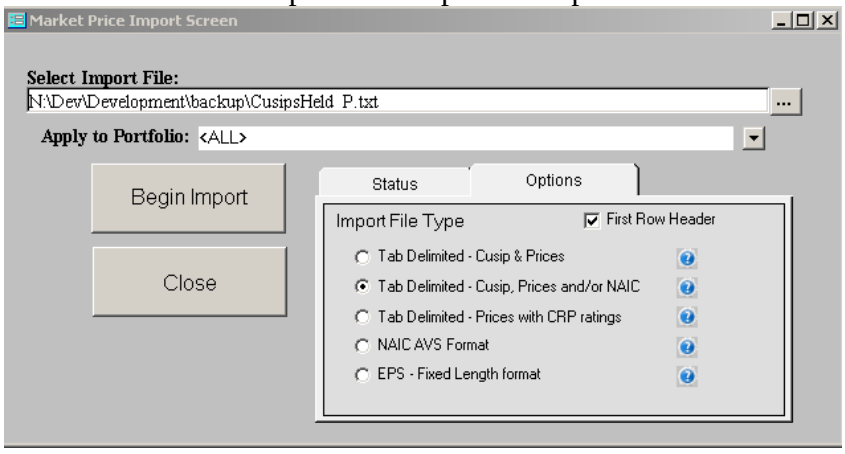
3. Click the ***Import Pricing From File*** button or choose ***File*** > ***Import Pricing Spreadsheet*** from the menu.
4. The Import screen will appear



5. Enter the path and name of the file to import or use the

button to browse for the file.

6. Click the **Options** TAB, and select the proper import file type. This selection will be remembered from the previous import attempt.



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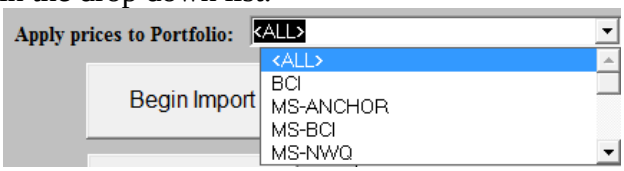
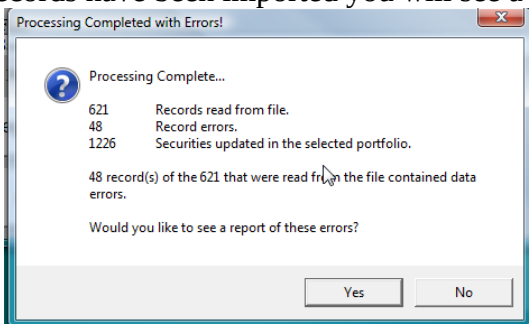
7. Select which portfolios that you want the imported data to be applied to by choosing an item in the drop down list.



   - If your import file contains data for CUSIPS that are not part of the selected portfolio the prices will not be applied for those CUSIPS.
   - If your import file contains prices for a specific portfolio, and there are CUSIPs in the portfolio that are also part of other portfolios, and you choose <ALL>, the other portfolios will be updated as well.

8. Click Begin ***Import***, to start the import process.
9. When the records have been imported you will see a confirmation dialog that is similar to the one below.


Processing Completed with Errors!
Processing Complete...
621 Records read from file.
48 Record errors.
1226 Securities updated in the selected portfolio.
48 record(s) of the 621 that were read from the file contained data errors.
Would you like to see a report of these errors?
Yes
No

10. If there are processing errors, you can display them by clicking YES or by clicking link on the import screen.

11. When you are returned to the "Market Posting Screen" you can review the prices that have been updated by examining the records that have a "**Y"** in the port column.

Understanding the error report.

When the file is opened to import data, each line of the file is subjected to a series of tests to determine if it is valid data. Any records that fail to pass the test are marked as invalid data and will be displayed on the error report. If a record has ANY error no data on that record is imported.

Below is a brief sample of an error report followed by a definition of the error.

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Price Import Error Report

Cusip	Price	NAICDesig	Error Message
000000-11-7	$101.50		Duplicate Record
000000-4A-8	$101.50	2FE	No Securities exist for this CUSIP
00184A-AB-1		1FE	Price(107.ABC) is not a valid Number
00206R-AF-9			Nothing to Do,(No Price or Designation supplied)
002819-AA-8	$109.83	2FE	Multiple prices for Cusip imported!
002819-AA-8	$110.89	2FE	Multiple prices for Cusip imported!
005158-QZ-6	$110.88	1FE	Multiple NAIC designations for Cusip imported!
005158-QZ-6	$110.88	2FE	Multiple NAIC designations for Cusip imported!

Possible Errors

Error Text	Meaning	Import Result
Duplicate Record	Multiple records in the import file contain identical data(CUSIP, Price, NAIC Desig)	Only the first record found will be processed
No Securities Exist	There are no securities in your database (in any portfolio) that match this CUSIP number	Import record ignored
Price(xxx) is not a valid number	The data supplied for the price is not a valid number. Numbers can contains digits 0-9; “,”commas; and “.” Periods	Import record ignored
Nothing to do, (No Price or Designation supplied)	The record in the import file has a CUSIP, but does not have a price or a NAICDesignation	Import record ignored
Multiple Prices for CUSIP imported	The CUSIP listed has multiple prices defined in the file (on multiple records)	All records for this CUSIP will be ignored
Multiple NAIC designations for CUSIP imported	The CUSIP listed has multiple NAIC Designations defined in the file (on multiple records)	All records for this CUSIP will be ignored
Security type mismatch, Import=P / Sec= ??	The CUSIP listed is a Preferred Stock in the import file, but you are holding it as some other type of security.(This may error occur on the AVS Import)	All records for this CUSIP will be ignored
Valuation Indicator is blank	The CUSIP listed is a Preferred Stock in your holdings and is listed as FE (Filing Exempt) in the import, to use the import feature for this security the Valuation Indicator on Page 2 of the security must be P or RP. (This error may occur on the AVS Import)	All records for this CUSIP will be ignored

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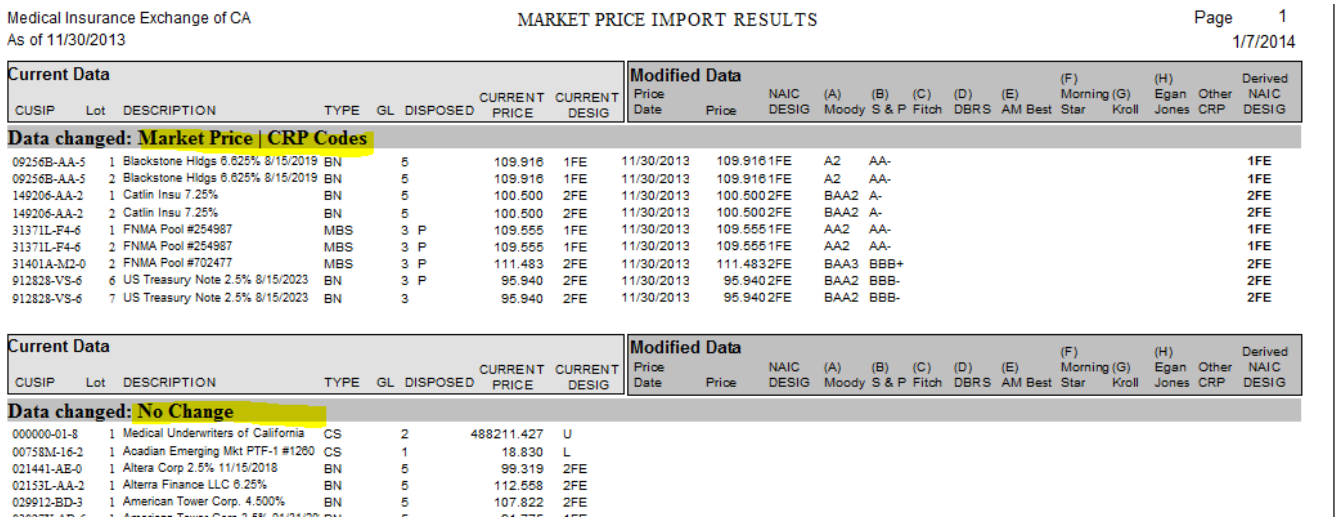
Market Price Import Results

After the import is complete you will see a Market Price Import Results report. This report displays all of your active investments grouped by the type of changes that were made to them on the Market Screen.

The heading "Data Changed" indicates what data items were imported and changed.



Medical Insurance Exchange of CA
As of 11/30/2013

MARKET PRICE IMPORT RESULTS

Page 1
1/7/2014

Data changed: Market Price | CRP Codes

Current Data								Modified Data										
CUSIP	Lot	DESCRIPTION	TYPE	GL	DISPOSED	CURRENT PRICE	CURRENT DESIG	Price Date	Price	NAIC DESIG	(A) Moody	(B) S & P	(C) Fitch	(D) DBRS	(E) AM Best	(F) Morning Star	(G) Kroll	(H) Egan Jones	Other CRP	Derived NAIC DESIG
09256B-AA-5	1	Blackstone Hldgs 6.625% 8/15/2019	BN	5		109.916	1FE	11/30/2013	109.916	1FE	A2	AA-								1FE
09256B-AA-5	2	Blackstone Hldgs 6.625% 8/15/2019	BN	5		109.916	1FE	11/30/2013	109.916	1FE	A2	AA-								1FE
149206-AA-2	1	Catlin Insu 7.25%	BN	5		100.500	2FE	11/30/2013	100.500	2FE	BAA2	A-								2FE
149206-AA-2	2	Catlin Insu 7.25%	BN	5		100.500	2FE	11/30/2013	100.500	2FE	BAA2	A-								2FE
31371L-F4-6	1	FNMA Pool #254987	MBS	3	P	109.555	1FE	11/30/2013	109.555	1FE	AA2	AA-								1FE
31371L-F4-6	2	FNMA Pool #254987	MBS	3	P	109.555	1FE	11/30/2013	109.555	1FE	AA2	AA-								1FE
31401A-M2-0	2	FNMA Pool #702477	MBS	3	P	111.483	2FE	11/30/2013	111.483	2FE	BAA3	BBB+								2FE
912828-VS-6	6	US Treasury Note 2.5% 8/15/2023	BN	3	P	95.940	2FE	11/30/2013	95.940	2FE	BAA2	BBB-								2FE
912828-VS-6	7	US Treasury Note 2.5% 8/15/2023	BN	3		95.940	2FE	11/30/2013	95.940	2FE	BAA2	BBB-								2FE

Data changed: No Change

Current Data								Modified Data										
CUSIP	Lot	DESCRIPTION	TYPE	GL	DISPOSED	CURRENT PRICE	CURRENT DESIG	Price Date	Price	NAIC DESIG	(A) Moody	(B) S & P	(C) Fitch	(D) DBRS	(E) AM Best	(F) Morning Star	(G) Kroll	(H) Egan Jones	Other CRP	Derived NAIC DESIG
000000-01-8	1	Medical Underwriters of California	CS	2		488211.427	U													
00758M-16-2	1	Acadian Emerging Mkt PTF-1 #1260	CS	1		18.830	L													
021441-AE-0	1	Altera Corp 2.5% 11/15/2018	BN	5		99.319	2FE													
02153L-AA-2	1	Alterra Finance LLC 6.25%	BN	5		112.558	2FE													
029912-BD-3	1	American Tower Corp. 4.500%	BN	5		107.822	2FE													

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Year End Procedures

- Process December as any other month, but don't run Month End or Year End.

- Print the Pricing Report on the print menu to get a source document for NAIC prices and designations.

- Input the Prices and designations into PortMan by clicking on MKT from PortMan's main menu. Type 12/31/YY when asked for the pricing date. Please remember that all Bond, CMO, MBS and ST securities must have their NAIC Designation begin with a number between 1 & 6. Preferred Stock (PS) securities must have a number between 1 & 6 in either the second or third position of their NAIC designation.

- Run the Book Value Adjustments procedure on the Programs menu. This procedure will adjust the book value on any appropriate securities based on their NAIC designations.

- This would be a good time to print the write down report. You can then decide if you are going to write any securities down. If you do decide to write down securities you achieve this by editing the security from the Change, Edit a security pick list, clicking edit, and then choosing Write Down from the Page 1 menu. You can also choose Write Down from the Programs menu choice on the Main Menu. This will write down each security on the Write Down report that just printed.

- Print the Working Schedule D parts 1 through 5 to get your final numbers. (Spreadsheets of Schedules Part 1 through 5, and a holdings spreadsheet will automatically be created for future use by the Year End program. These files are named 1231YYYYP1.xls, 1231YYYY2S1.xls … and 1231YYYYHoldings.xls and are stored in the PortMan data folder for each company.)

- Export the data files by choosing Programs from PortMan's main menu, then Export Sch D. The file will be created in the Export folder you have defined on the Utility screen. Make sure the Export directory ends with a \. Example: N:\PortMan\Export\.

- Print the Part 1A reports on the print menu. These reports will be used to input the Maturity and Quality and Maturity distributions. Print the Summary Investment Schedule report. (These two reports ask if you also want to receive the data in spreadsheet format.) Print Summary by Country report. Print the Issuer report and the NAIC Desig Percent report. These are used in the supplemental section. Print the Twelve Month Loss report to display any securities that have been in an unrealized loss position for all pricing points in the previous 12 months.

    - After all data is approved and in the statement software, then run **Year-End**, and then Month-End, in that order, to get ready for January processing. If, for any reason, the Year-End generates an error message **DO NOT** run it again. Please call us!

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Year End Program

The Year End program closes out the present year and gets the system ready for the year that is about to begin. To run the program, choose Year-End from the Program Menu. The program verifies that you intended to run Year-End and continues if you answer Y, terminates if you answer anything else.

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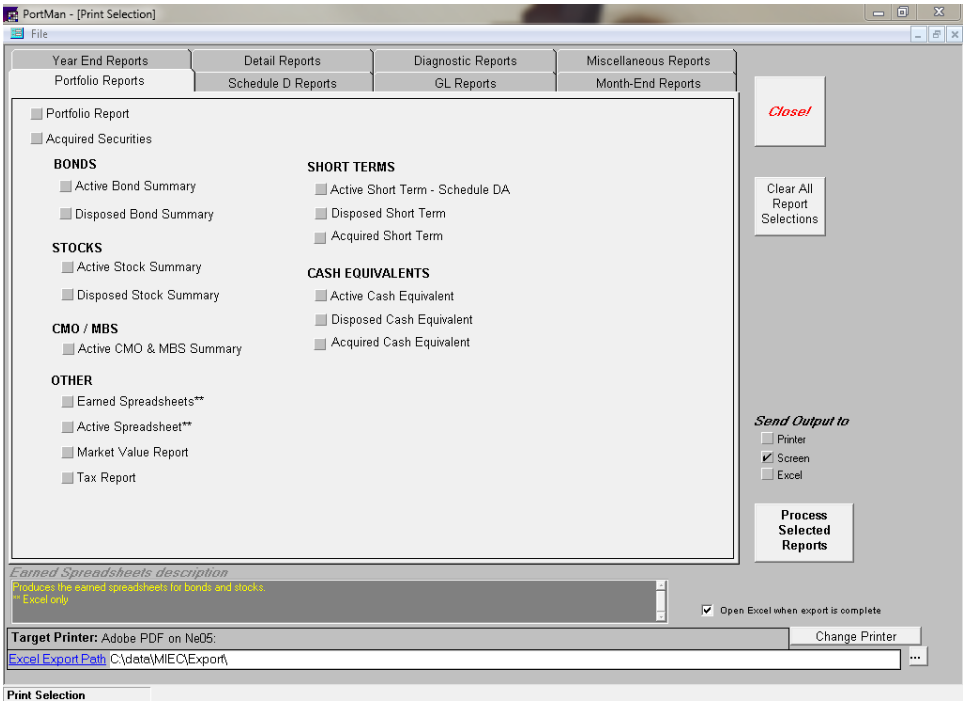
Reports

The report Menu is accessed by choosing File, Print from the Main Menu. You will see a screen that looks like the following:



- Click on each selection that you wish to print. A checkmark will signify that you have chosen a report to print. Click the selection again to remove the checkmark.
- Select the method of Output (Screen, Printer, Excel), Multiple choices may be used.
- Click the **PROCESS SELECTED REPORTS** button after you have checked all the reports that you want to print. The selected reports will then go to the printer.

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Report Descriptions:

Acquired Cash Equivalent	Prints a list of Cash Equivalent securities acquired this year.
Acquired Securities	Lists information for securities acquired in the current year.
Acquired Short-Term	Lists information about the Short-Term securities that have been purchased in the current year.
Active Bond Summary	Lists most of the information in Schedule D - Part 1.
Active Cash Equivalent	Prints a list of Cash Equivalent security holdings.
Active CMO & MBS Summary	Lists information about the active CMO's and MBS securities in your portfolio.
Active Short-Term	Lists information about the active Short-Term securities in your portfolio.
Active Spreadsheet	Creates a spreadsheet that lists various data about each owned security.
Active Stock Summary	Lists information from Schedule D - Parts 2.
Amortization by Month	Provides an Amortization of Premium or Accretion of Discount report broken down by Month for each security you select to print.
Amortization by Year	Provides an Amortization of Premium or Accretion of Discount report broken down by Year for each security you select to print.
AVR	Prints the Asset Valuation Reserve report.
Detail Report	Provide an Individual Security detail report for each securities you select to print.
Disposed Bond Summary	Lists information about bond's, CMO's, and Mortgage Backed securities that are partially and fully disposed.
Disposed Cash Equivalent	Prints a list of Cash Equivalent securities sold or disposed of this year.
Disposed Short-Term	Lists information about the Short-Term securities that have been disposed in the current year.
Disposed Stock Summary	Lists information about partially and fully disposed stocks.

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Due and Accrued	A report displaying Due and Accrued for securities from the beginning of the year until the date the report was run. The report can be grouped by NAIC Type, Tax Status, or Payable Mode. You can include or exclude fully disposed securities.
Earned Spreadsheet	Creates a spreadsheet that displays earnings for each security.
EOM Due	Provides a list of securities and the amounts DUE for the current accounting month.
EOM Paid	Provides a list of securities and the amounts PAID during the previous accounting month.
Expired Call List	This list is compiled during Month-End processing and displays any securities that are being amortized to a call date, and that call date has or will soon expire.
GL Definitions	Lists your defined general ledger definitions. It lists each definition and its associated general ledger account numbers.
GL Detail	Lists the double entry general ledger detail data for the period you specify. The program will ask you to enter the beginning and ending dates.
GL Summary	Lists the double entry general ledger summary data for the period you specify. The program will ask you to enter the beginning and ending dates.
IMR	Prints the Interest Maintenance Reserve report needed by most Life insurance companies. There are two formats for the IMR report. The user can select Grouped or Amortized on the Utility screen. Grouped lists the disposed securities by groups of Maturity year categories, and amortized lists the disposed securities with their gains/losses amortized to their maturity date.
Interest Earned	A report displaying the interest earned on securities from the beginning of the year until the date the report was run. The report can be grouped by NAIC Type, Tax Status, or GL Definition. Fully disposed securities can be excluded.
Investment Income	A report displaying Investment Income for securities from the beginning of the year until the date the report was run. The report can be grouped by NAIC Type, Tax Status, or GL Definition. Fully disposed securities can be excluded.
Issuer	Lists all non-exempt (Non US Government) issuers listed by greatest exposure.
Market Value	Lists market information about all active securities in your portfolio.
Maturity Distribution - Part 1A	Prints the Schedule D Part 1A Quality and Maturity Distribution report.

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Maturity Year & Yield	Lists information about bonds subtotaled by maturity year.
NAIC Desig Percent	Lists the percentage of Bonds and Preferred Stock in each of the 6 rating categories.
Portfolio Report	Lists all of your active securities categorized by portfolio. This report uses the information contained in the Portfolio field on Page 1 of the security-input screens.
Pricing report	Lists the Market Price and designations for each active security. This report is used to enter and record the updated prices and designations into the Market screen.
Quality and Maturity Distribution - Part 1A	Prints the Schedule D Part 1A Maturity Distribution report.
Rating	Lists all bond (Part 1) securities broken by NAIC designation. Within each rating classification the securities are listed in Maturity date order.
Reconciliation	Lists all securities that are not reconciling between years. This report should be blank. If there are securities listed on this report they need to be looked into.
Schedule D (Working)	Prints reports that show all of the information listed in the Schedule D Parts 1, 2 Section 1, 2 Section 2, 3, 4, and 5. A Pop up window is displayed and you are able to pick which reports you want, as well as if you want to print to the printer, screen or to spreadsheets.
Schedule D by GL Type	Prints out Schedule D Parts 1 through 5 reports sub-totaled by GL definition. These reports show you the detail and summary information for your general ledger investment accounting.
Schedule D Verification	Prints the Schedule D Verification report.
Schedule DA Verification	Prints the Schedule DA Verification report.
Special Deposit	Lists all securities that are flagged to be held as Special Deposits on Page 1 of the Security Input screen.
Structured Securities held per NAIC List	This report displays active securities that have been identified by the NAIC as structured securities in the 2010 RMBS/CMBS Modeled Securities list as of 01/07/2011.
Structured Securities held per Selected NAIC Type	This report displays a list of securities which fall under the RMBS rating guidelines. Use it to list your RMBS securities as well as to verify your collateral type assignments.

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Summary by country	Lists the information that is needed to fill out the Summary by Country section on the annual statement.
Summary Investment Schedule	List that is used to complete the Summary Investment Schedule in the Annual Statement. This choice also asks if you want a spreadsheet to give you supporting data.
Tax Report	Displays all taxable transactions for a user specified time period. The transactions are categorized by the Tax Status associated with each security. The Tax Status is assigned in the Tax Status field on the first page of each securities input screen.
Unrealized Gain & Loss	Lists the unrealized gain or loss for all held securities broken by General Ledger definition. This choice also asks if you would like to create a spreadsheet with the unrealized gain/loss data.

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Backup/Restore

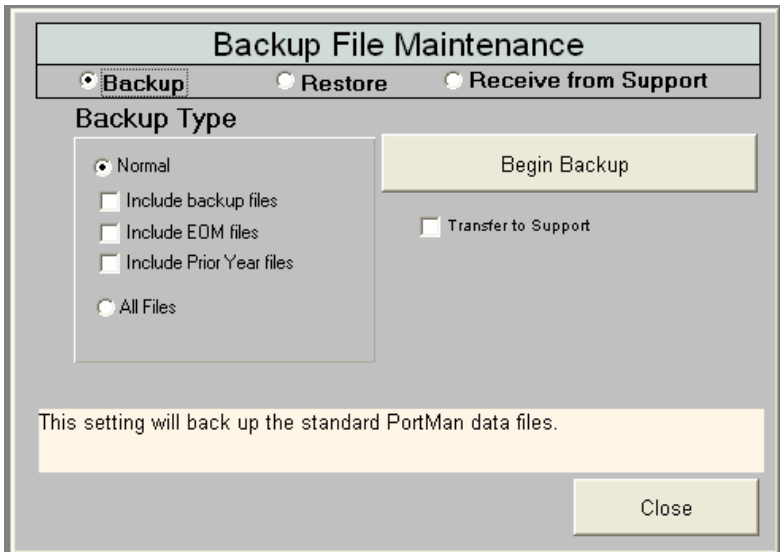
The Backup and restore processes are integrated into a single form. To select between Backup and Restore, simply select the appropriate radio button. The default selection is Backup.

Backup

The Backup File Maintenance screen provides a useful tool to create data file backups for any given point in time. The backup process is accomplished by compressing files located in the Portman data folder("Working Directory") into a ZIP file and placing the resulting ZIP file into the backup folder (as identified in the Utilities screen). The process will allow for five distinct types of backup file to be created, they are:

Type	Purpose
Normal	This setting will back up the critical PortMan data files.
Norma w/Backup Files	This setting will back up the critical PortMan data files and the existing running backup copy of those files.
Normal w/EOM Files	This setting will back up the critical PortMan data files along with the previous EOM copy of those files.
Normal w/Prior Year Files	This setting will back up the critical PortMan data files along with the prior year data copy of those files.
All Files	This setting will back up ALL files in the PortMan data directory.*

* Sub-directories located in the PortMan data directory are NOT included in the backup process.



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Backup file names

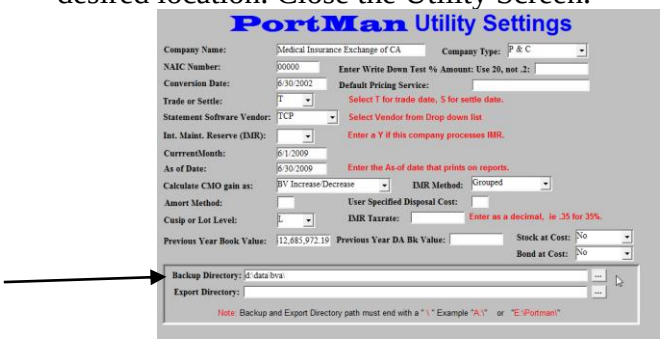
Backup files are created using unique names for each backup. This lessens and nearly eliminates the possibility of a prior backup file being overwritten by another newer backup. The naming convention utilizes a combination of the following date elements to produce a unique name.

Company Name
Current Month/Year
Year, Month, Day
Hour, Minute, Second
Backup Type selected

Creating a Backup

To create a backup, follow these steps.

1. Open Portman. (If you have more than one PortMan company, this process must be done for each company.)
2. Click the ***Utility***; ***Utilities Screen*** menu items, and confirm or set the Backup folder to the desired location. Close the Utility Screen.



3. Click the ***File***; ***Backup - Compressed*** menu item.
4. Choose your Backup Type.
5. *OPTIONAL* – Check the Transfer to Support option if you want a copy of this backup file to be sent to PortMan support.
6. Click the ***Begin Backup*** button.

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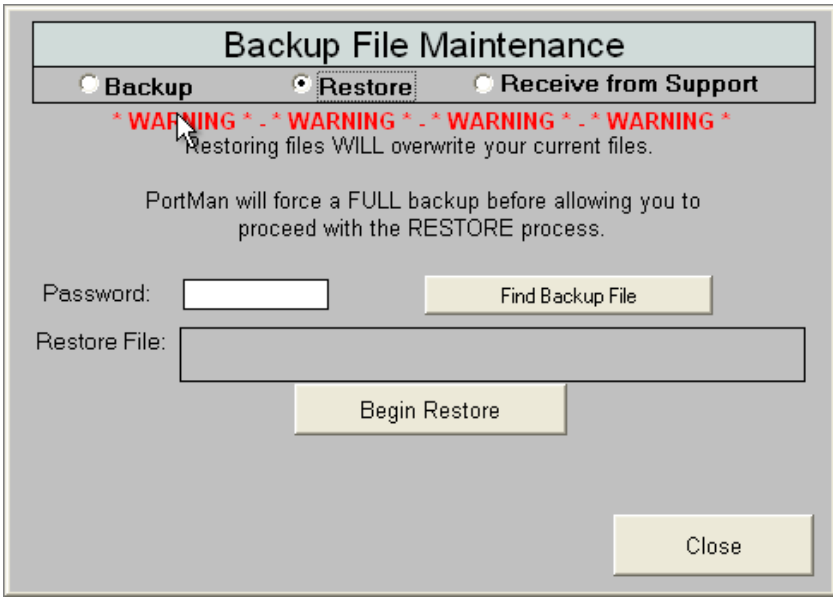
Restore

WARNING – ***Restoring data files is potentially damaging to your data and should be done with extreme caution!***

The Backup File Maintenance screen provides the ability to restore data files from pre-existing backup files. In order to restore files from a previous backup, you will first need to request a password from PortMan support by calling 502-209-6034.

Restoring a Backup

NOTE: Prior to restoring a backup file the system will automatically FORCE a complete backup of the data folder as an added protection against inadvertent data loss.


Backup File Maintenance
Backup
Restore
Receive from Support
* WARNING * - * WARNING * - * WARNING * - * WARNING *
Restoring files WILL overwrite your current files.
PortMan will force a FULL backup before allowing you to proceed with the RESTORE process.
Password:
Find Backup File
Restore File:
Begin Restore
Close

To restore a backup, follow these steps.

1. Open Portman. (If you have more than one PortMan company, this process must be done for each company.)
2. Click the ***File***; ***Backup - Compressed*** menu item.
3. Choose RESTORE.
4. Enter the password that you received from support and click ***Find Backup File***.
5. The Find Backup Files dialog will appear.(See below)

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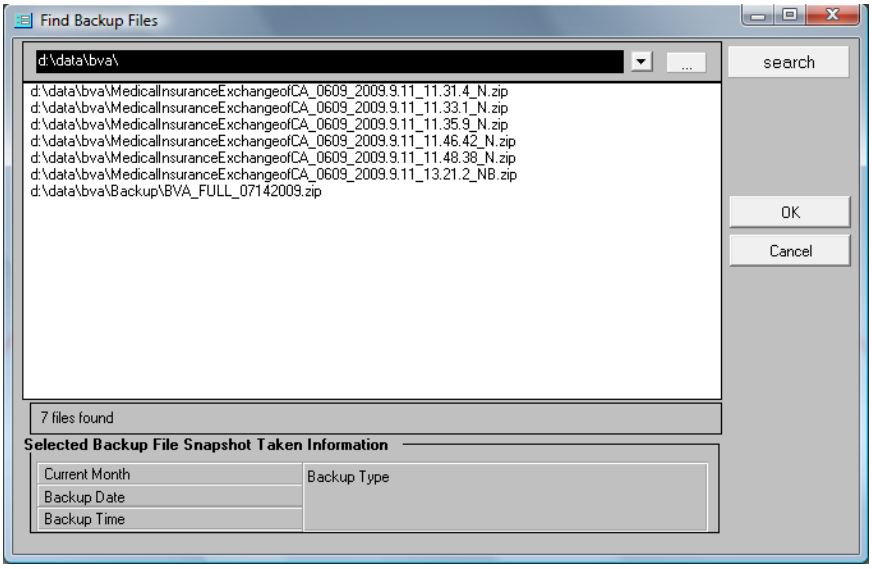
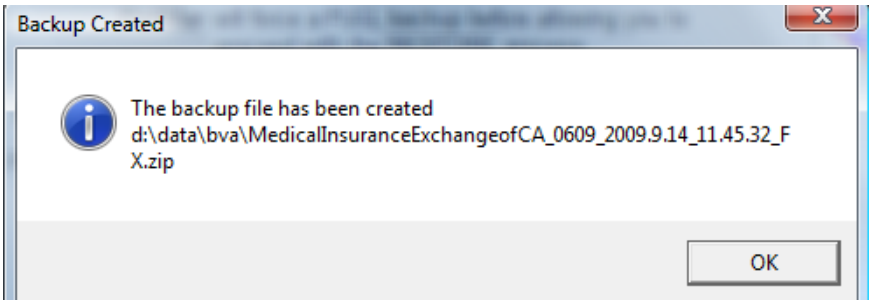


6. Select the backup file that you wish to restore or click the ... to browse for additional file locations.
7. When you have found a selected the file you wish to restore click ***OK***.
8. Click the ***Begin Restore*** button.
9. The FORCED Automatic Backup will commence. When the FORCED backup is complete it will display a message similar to the one below. The file name displayed can be used to return your system to its current state should the restore results be undesirable.
   Click ***OK*** to Continue



10. The selected restore file will now be extracted and will overwrite the existing data files! Press ***OK*** when prompted.

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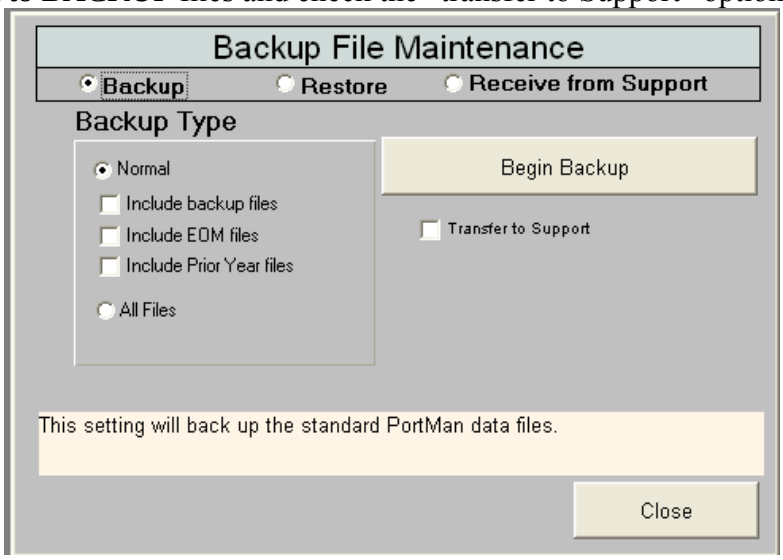
Transferring Files to Support

Users requiring support are sometimes asked to send in data files to help identify and address their support needs. Sending the correct data files can be somewhat tedious when done manually. This section describes what happens when the "***Transfer to Support***" option is checked during a backup process.

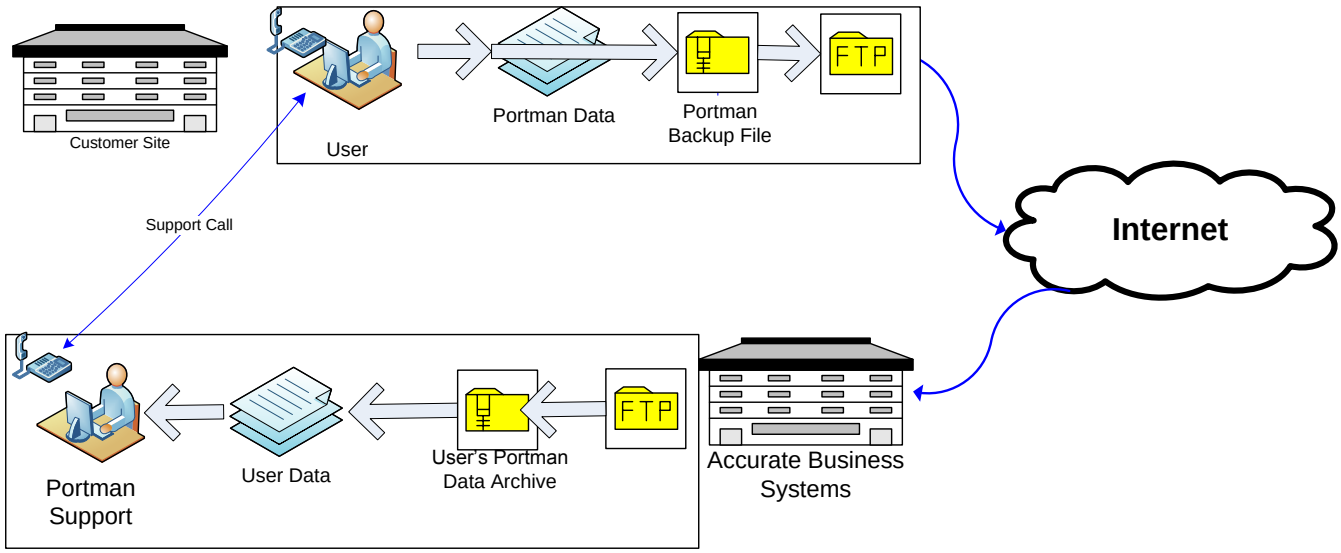
*You should only use the "Transfer to Support" option when you are in contact with support and have been asked for a copy of your files.

*You should NOT send data files without also informing support that they have been sent. Failure to notify support may mean that the files do not get immediate attention.

Follow the instruction to BACKUP files and check the "transfer to Support" option.



Background File Transfer Process



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Receiving Files from Support

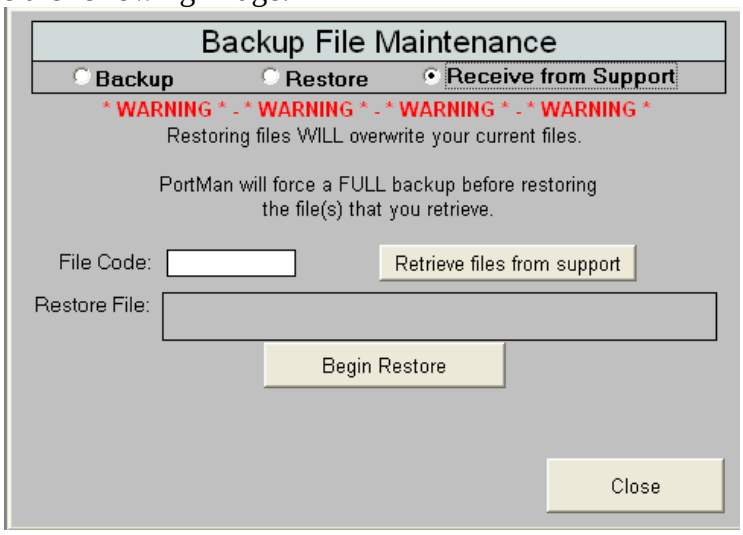
WARNING *– **Restoring data files is potentially damaging to your data and should be done with extreme caution!***

The Backup File Maintenance screen provides the ability to receive data files from Support. This process acts in the same manner as the restore process with the exception of the fact that the file you will be restoring is coming from PortMan support. Typically this process is used when you sent your files in for editing and you are retrieving the corrected files from support.

In order to receive a file you will need to first get your file code from support. Your file code will be different each time you receive files. A file code will be similar to this: **a1892e**

The file code is nothing more than an identifier that is used in conjunction with other data to assure that you get the correct data files.

The screen will look like the following image:


Backup File Maintenance
Backup
Restore
Receive from Support
* WARNING * - * WARNING * - * WARNING * - * WARNING *
Restoring files WILL overwrite your current files.
PortMan will force a FULL backup before restoring
the file(s) that you retrieve.
File Code:
Retrieve files from support
Restore File:
Begin Restore
Close

You will enter your file code into the field provided and click the retrieve files from support. When your file has been successfully received, click the Begin Restore button to restore the files. From this point on the process is the same as "Restore Backup" starting at step 8.

Restoring a Backup

NOTE: Prior to restoring a backup file the system will automatically FORCE a complete backup of the data folder as an added protection against inadvertent data loss.

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Master Install Setup

Purpose

For users who have multiple insurance companies and multiple installations of PortMan, the burden of keeping the multiple installations up to date can be significantly reduced by creating a MASTER install copy of Portman.

The Master install copy can be a common folder created for this purpose or it can be an existing company.

Requirements

In order to use the MASTER install update process you will need the following:

1. Portman Version 2010.13 or higher (* earlier versions will work with this process, look for additional notes below)
2. A common folder that all users can have READ & COPY access to.
3. A text file called "**Master_Install_Enabled.txt**" which contains a valid path to the common folder in step B on the first line.

Setup

To setup the Master install:

1. Create the folder where the master install will reside. (if necessary).
2. If your companies use custom files, you will need to copy the CUSTOM folder to the folder created in step 1. If you skip this step, you MAY lose your customized features.
3. Run the PORTMANInstall.EXE and install it into the folder in Step 1
4. Create a text file and type the path to the folder in step 1. This path must be valid for all PortMan users.
5. Save the text file with the name "**Master_Install_Enabled.txt**" into the data folder for each of your companies.

6. For companies that are on version 2010.12 or earlier, you will also need to Copy the **MainMenu.fdl** from the folder in step 1, to each of your insurance company folders.

That's it, now when a user opens one of the Portman companies, it will check to see if an update needs to be applied and copy the required files before the company opens.

**Custom Files

If your companies use custom files, you will want to copy the custom folder into the MASTER install folder, before you run the PortManInstall.EXE

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Transaction Code Definitions

Code	Explanation
1	Code 1 signifies a purchase of a security. The figure you enter updates the Book Value and Actual Cost fields. Code 1 is a Debit entry.
2	Code 2 signifies a full disposal of a security. The figure entered updates the Disposed Book value field, and flags are set that alert the system that more processing must take place (such as Consideration). Code 2 is a Credit entry.
3	Code 3 signifies a partial disposal of a security. The figure entered updates the Disposal Book Value and Book Value fields, and flags are set for further processing. Code 3 is a Credit entry.
4	Code 4 signifies a Book Value decrease or decrease. A Debit entry increases the Book Value and Book Value Increase fields. A credit entry decreases the Book Value and increases the Book Value decrease field. Code 4 can be a Debit or Credit entry.
5	Code 5 signifies interest or dividends received for a security. Code 5 is a Credit entry.
6	Code 6 signifies Accrued Interest Paid. The entered value updates the Accrued Interest Paid field. Code 6 is a Debit entry.
7	Code 7 signifies a Disposal Profit. The entered value updates the Disposal Profit field, and flags are set to signify further processing. Code 7 is a Credit Entry.
8	Code 8 signifies a Disposal Loss. The entered value updates the Disposal Loss field, and flags are set to signify further processing. Code 8 is a Debit Entry.
9	Same as # 4 above, but amount is attributed to a disposal. Disposal Book Value Increase or Decrease fields are updated.

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Structured Security Collateral Types

CODE	DESCRIPTION	NOTES
1	RMBS Prime	Residential Mortgage Backed Securities consisting of first lien mortgages whose borrowers are considered prime. * Generally prime borrowers have a FICO score of 660 and higher. * FICO score is a consumer credit score developed by Fair, Isaac and Co. that is a numerical summary of the relative likelihood that an individual will pay back a loan.
2	RMBS Non-Prime	Consisting of first-lien mortgages whose borrowers are considered NON-prime. *Examples include subprime, and ALT-A borrowers. *Subprime is a first-lien mortgage loan made to a borrower who has a history of delinquency or other credit problems. *ALT-A is a first-lien mortgage loan that generally conforms to traditional prime credit guidelines, although the LTV, loan documentation, occupancy status or property type, or other factors may cause the loan not to qualify under standard underwriting guidelines.
3	RMBS Home Equity	RMBS secured by Home Equity loans. *Usually a junior-lien mortgage loan that makes available to the borrower a revolving line of credit, allowing periodic borrowing and subsequent repayments.
4	RMBS Other	RMBS not included in 1 through 3.
5	CMBS	Commercial Mortgage Backed Securities - A type of mortgage backed security that is secured by the loan on a commercial property.
6	ABS - Credit Card	Asset Backed Securities collateralized with credit card receivables.
7	ABS - Auto	Asset Backed Securities collateralized with auto loans and leases.
8	ABS - Student Loan	
9	ABS - Aircraft Leases	
10	ABS - Equipment Leases	
11	ABS - Trade Receivables	
12	ABS - CDO/CLO	CDOs (Collateralized Debt Obligations) or CLOs (Collateralized Loan Obligations) * Indicate in Description column what the CDO.CLO collateral is, such as High Yield Bonds, corporate loans, etc. * If the collateral is of mixed type, indicate by "Mix" in description field, in addition to the largest type of collateral in the mix. * If the collateral is derived synthetically, indicate "synthetic" in the description field.
13	ABS - Loan	ABS Secured by loans.
14	ABS - Commercial Paper	
15	ABS - Manufactured Housing and Mobile Homes	

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16	ABS - Recreational Vehicles	
17	ABS - Small Business Loans	
18	ABS - Tax	ABS collateralized with TAX Receivables
19	ABS - Utility	ABS collateralized with receivables from utilities
20	ABS - Other	ABS not included in 6 through 19

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General Ledger Definition Screen

Definition Number:	1	Description:	

Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

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General Ledger Definition Screen – Page 2

Definition Number:	2	Description:	

Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

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General Ledger Definition Screen – Page 3

Definition Number:	3	Description:	

Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

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General Ledger Definition Screen – Page 4

Definition Number:	4	Description:	

Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

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General Ledger Definition Screen – Page 5

Definition Number:	5	Description:	

Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

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